

# Examinations Policy

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<sup>1</sup> JCQ Instructions for conducting examinations 2020-21; JCQ Instructions for conducting non-examination assessments 2020-21

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## SECTION A: Introduction

**1. Purpose of the policy**

- 1.1. This policy applies to Mulberry Schools Trust (MST) and Mulberry Academy Shoreditch (MAS) and references to 'the Trust' and 'the academy' shall be taken to mean MST and MAS.
- 1.2. Mulberry Academy Shoreditch plans and manages all assessed aspects of qualifications so that they are conducted consistently, efficiently and securely, in line with Joint Council for Qualifications<sup>2</sup> (JCQ) and awarding body requirements and in the best interest of candidates.
- 1.3. This policy includes and meets JCQ and awarding body requirements and sets out academy expectations and procedures, so that staff, students, parents and awarding bodies can have confidence in academy practice and all staff understand and can enact their responsibilities.

**2. Scope of the policy**

- 2.1. The policy applies to all assessed aspects of qualifications taken by students at the academy, including examinations and all non-examined assessments. Currently, these qualifications are GCSE, GCE and BTEC.
- 2.2. The policy does not cover internal exams and assessments, although many of the same procedures are used to help build students' experience and confidence.

**3. Principles underpinning the policy**

- 3.1. The policy adheres to all JCQ requirements.
- 3.2. The policy upholds academy values and supports students in achieving their potential and gaining the qualifications they need for successful and challenging next steps.
- 3.3. The policy has impact when implemented: all staff must read, understand and fulfil their responsibilities. Staff will receive appropriate support, updates and training.

**4. Policy review**

- 4.1. This policy is reviewed annually by the Mulberry Academy Shoreditch Local Governing Body . The review takes account of the annual JCQ inspection reports, the Pearson Centre Quality Review report (for BTECs) and available awarding body feedback. Copies of these reports are held centrally with the policy.

**5. Qualifications offered**

- 5.1. Mulberry Academy Shoreditch currently offers GCSE and BTEC qualifications at KS4 and GCE and BTEC qualifications at KS5. The curriculum, including the range of subjects and qualifications, is developed by the Deputy Principal responsible for curriculum, Assistant Vice Principals for KS4 and KS5 and Directors of Learning. It is agreed annually by the Trust Board and published in the academy's prospectus.
- 5.2. Decisions about specifications and awarding bodies are made by the subject leads in discussion with their Director of Learning (DoL) and Senior Line Manager.

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<sup>2</sup> The Joint Council for Qualifications (JCQ) consists of AQA, City & Guilds, CCEA, Edexcel, OCR and WJEC, the seven largest providers of qualifications in the UK, offering GCSE, GCE, Scottish Higher, Entry Level, vocational and vocationally-related qualifications.

This information is made available to students and parents via the academy's website.

- 5.3. These qualifications include different modes of assessment, including written examinations, on-line examinations and non-examination assessments including practical assessments. All include an examined component.

## SECTION B: Procedures

### **6. Procedures for entry/withdrawal of candidates to qualifications, examinations and other assessed components**

#### *6.1. Entries*

- The academy expects all students to be entered for examinations and assessments for which they have been prepared.
- The Examinations Manager informs SLT and Directors of Learning of the deadlines associated with exam entry and withdrawal and informs them of the information needed.
- If there has been a change of specification from the previous year, subject leaders must inform the Examinations Manager as soon as the decision is made.
- The Examinations Manager enters the entries from subject leaders' lists and subject leaders check them. BTEC lead verifiers sign a copy of the registration list. Changes may be made without charge up to the date when awarding bodies charge fees.
- Further details of procedures relating to BTEC registrations are included in the academy BTEC Registration and Certification Policy available from the Quality Nominee;
- All registration and exam entry fees for internal candidates are met by the academy. Reimbursement will not be sought from candidates who fail to sit an exam or meet the necessary non-examination assessment requirements
- Late entries are actioned only if authorised by DoLs. Late entries fees are usually charged to department budgets.
- Departments are not charged for changes of tier, withdrawals made following the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies.

#### *6.2. Withdrawals*

- AVP KS4/Sixth Form inform the Examinations Manager if students are taken off roll.
- In exceptional circumstances, following discussion with student, parent/carers, subject teacher, DoL, SENCo, AVP KS4/Sixth Form and the Senior Leader responsible for exams, students may be withdrawn from a qualification. The Senior Leader makes the final decision and informs the Exams Manager.

- All Key Stage 4 students are entitled, and enabled to achieve, at least one qualification from an external awarding body.

## 7. Procedures relating to external examinations<sup>3</sup>

### 7.1. *Delivery of examination materials*

- Examination materials are always addressed 'For the attention of the Examinations Manager' and are quickly recognised.
- When parcels are delivered to Reception, Reception staff sign for the parcel, logs its receipt, and immediately call Premises to inform them an exam delivery has been made, and to ask them to take the parcel directly to the Examinations Manager.
- During office hours, if the Examinations Manager is unable to take delivery from the Premises Team, the Examinations Officer will unlock the Exam Office and the exam safe so that the parcel can be left inside, and lock the doors again. The Examinations Manager is informed by the Examinations Officer that a delivery has been made.
- Outside office hours (or during holidays), if neither the Examinations Manager nor the Examinations Officer is able to take delivery, the parcel is locked in a cupboard in the Admin Office.

### 7.2. *Storage and management of examination materials*

- Materials are received in sealed boxes and plastic sealed envelopes and are stored in the academy's exam safe. The exam safe is accessible only by the Head of Centre, Examinations Manager or Exams Officer.
- Immediately on receipt, the Examinations Manager, or the Examinations Officer in her absence, locks the papers in the exams safe.
- Using the windows in the packaging, the Examinations Manager checks the paper received and cross-references all exam materials received against those ordered and logs those received.
- Materials are kept in the safe until the period immediately preceding the examination, as per JCQ procedures. On the day before any examination, exam materials are rechecked by the Examinations Manager so that the correct question paper packets will be opened
- Exam papers and awarding body stationery are taken out of secure storage within one hour of the stated examination time for exam room preparation. For access arrangements, a designated invigilator collects student papers from the Examinations Manager in the main exam hall.
- Spare papers for exams that have been taken are not left in or returned to the exams safe.
- The Examinations Manager will inform the awarding body immediately if the security of the question papers or confidential supporting instructions is put at risk.
- After the examination, exam scripts are taken by the Lead Invigilator and/or the Exams Manager to the Exams Office. They are checked by the Exams

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<sup>3</sup> See JCQ Instructions for conducting examinations Sept 2020-Aug 2021

Manager and prepared for dispatch. Spare awarding body stationery is also returned to the exams office.

### 7.3. *Dispatch of examination materials*

- Prior to the start of each exam season, the Examinations Manager contacts Parcel Force to arrange exam parcel collection and informs reception staff. Parcel Force collect parcels every weekday until the end of the exam season.
- Exam scripts are dispatched either on the same day as the exam or the following day.
- The Examinations Manager takes packaged exam scripts that are ready for dispatch to Reception and leaves them for collection. Reception staff inform the Examinations Manager when Parcel Force are on site. If parcels are not ready for dispatch by the time Parcel Force arrives, they are left in the Exams Office safe until the next day.
- If Parcel Force fails to collect for any reason, the parcels will be left overnight in a locked cupboard in the Admin Office in order to be ready for dispatch the following day. Reception will notify the Examinations Manager of this and notify her again once the parcels have been collected.
- All collections are logged both by Parcel Force and the Examinations Manager. The Examinations Manager keeps a record of all dispatches identified by their unique reference number.

### 7.4. *Information to students, parents and staff*

- All students sitting exams are given information about exam expectations, routines and malpractice<sup>4</sup> through assemblies prior to their mocks and prior to the external exams. Mock exams reflect all procedures required in external exams.
- Examination timetables and arrangements are distributed as follows.
  - Individual timetable, with copy of JCQ Candidate privacy notice, given to each candidate and posted to each candidate's parent/carer. Students can also look at their timetables via their Bromcom account.
  - Full timetables (Y11 and sixth form) emailed to all staff and published on the academy website.
  - Daily summary of exams and exam arrangements and a full list of student names emailed to all staff the day before each exam.
  - Week-ahead examination arrangements and a full list of students emailed to SLT each week.
- Candidates are informed that whatever the date of their last exam, they must remain available until Wednesday 26 June 2019 in case an awarding body needs to invoke its contingency plan and make use of this date.
- All JCQ guidance for candidates is available on the academy's website.
- Students can look at their seat numbers for each exam via their Bromcom accounts or can on noticeboards before the exam.

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<sup>4</sup> See Appendix 4 for examples of candidate malpractice

- As soon as entries are submitted, the Examinations Manager will make arrangements to resolve any clashes. Candidates will be informed of these arrangements within 2 weeks of entries being submitted.

#### 7.5. *Exam venues and environments*

- The academy uses the following internal spaces for exams:
  - the main hall
  - the dance studio
  - the sixth form centre
  - the Access Base
  - rooms 50a, 50C, 51A if needed for 1:1 access arrangements
- On-screen exams take place in room 511 and/or 513
- The Examinations Manager books all exam rooms, after liaison with other users, and arranges for them to be set up by the Premises Team.
- The Examinations Manager and Examinations Officer ensure all materials and equipment required are in the correct rooms. The Network Manager supports with on-screen exam access.

#### 7.6. *Invigilation*

- The invigilation team for each external exam includes at least:
  - a lead invigilator for each exams venue, with the exception of some individual access arrangements (see Section 9);
  - one invigilator for each group of 30 candidates (or fewer) sitting timetabled written exams; or
  - one invigilator for each group of 20 candidates taking on-screen tests, or timed Art examinations unless the awarding body has given permission to do otherwise;
  - an additional invigilator to provide cover if needed.

This is, however, dependent on the nature of the test and the layout of the room. Further invigilators are used at the Examinations Manager's discretion to ensure that all candidates are in view at all times.

- Invigilators are timetabled by the Examinations Manager and deployed in each exam by the Examinations Manager or Lead Invigilator.
- External invigilators also provide the practical support as part of one-to-one access arrangement, and additional invigilation is allocated to oversee several nearby spaces (a "roving invigilator" as defined by JCQ).
- External invigilators are used for all external written/on-line exams.
- External invigilators are also used for mock exams; access arrangements for mock exams are met by teaching assistants.
- The HR Team recruits the invigilation team each year, including lead invigilators. The Examinations Manager supports the HR Team in sourcing appropriate personnel. Invigilators are required to sign the conflict of interest declaration in Appendix 1.
- The HR Department ensures that recruitment is done in sufficient time to secure Disclosure and Barring Service (DBS) clearance. DBS fees for securing such clearance are paid by the academy.

- All invigilators and Lead Invigilators are trained by the Examinations Manager each year.

*Exam day routines.*

- **Year 11**
  - 08:00 – 08:40 revision  
*1 week before the exams, DOL must inform Examinations Manager of revision taking place and the rooms to be used*
  - 08:40 students to go to usual tutor group line-up where registers are taken; 13.10 only exam candidates form lines
  - Senior leader invites lines for each exam; AHoY takes exam register
  - AVP (KS4) invites candidates to exams playground and supervises line up in seat number order.
  - Register is finalised by AHoY Y11 as students are going into the hall
  - AHoY takes list of absentees to attendance team for immediate follow up, with copies to reception and the Exams Manager
  - Invigilator instructs rows of students to move into hall; invigilators take over supervision at the hall door
  - Invigilators/SLT to support with supervision of students in the playground if students need a break between exams
- In the event of rain, the Senior Leader responsible for exams will allocate rooms and students will be escorted to the exam from there.
- **Sixth Form**
  - Candidates assemble at 8.40 outside the sixth form exam room (or 232 if rain)
  - AVP Sixth Form lines students up in seating plan order and takes the final register
  - AVP Sixth Form gives the register to the Sixth Form Administrator who calls absentees
  - An agreed Senior Leader deputises for the AVP for the whole season
- The Examinations Manager notifies kitchen if early lunch required for afternoon exam; DOL/SLM/SLT and/or 2 members of staff support with early lunch.
- The Examinations Manager and ensures necessary supervision for any candidates with exam clashes. Where candidates are taking two or more examinations in a session and the total time is three hours or less, candidates are given a supervised rest break in the exam hall under exam conditions.

*7.7. In the exam hall (including on-screen exams)*

- Senior and middle leaders supervise students into the hall only. The Examination Manager, and the invigilation team are responsible for students once they enter the hall. The Senior Leader responsible for exams will remain until the exam has started.

- JCQ regulations concerning the people present in the examinations room is included as Appendix 2.
- An examination report sheet is completed by the lead invigilator after each exam. This records all members of staff present at any point in the exam room (with the reason), any late students and any other pertinent information.
- The academy's published expectations for dress and behaviour apply in and around the exam hall. Disruptive candidates will be dealt with in accordance with JCQ guidelines. JCQ regulations concerning candidates' use of mobile phones and all electronic devices apply at all times. Mobile phones are collected from students by the Examinations Officer and stored in individually numbered bags.
- Candidates' mobile phones/electronic equipment are collected in individual labelled bags as candidates enter the hall. The boxes of phones are locked in the exams office.
- Candidates' personal belongings, including their bags and coats, are stored at the back of the exam hall. Candidates are encouraged to bring as little as possible into the hall with them.
- The lead invigilator checks the day, date, time, subject, unit/component and tier of entry (if appropriate) immediately before the paper packet is opened.
- The lead invigilator reads instructions about exam expectations to candidates at the start of each exam, including asking them to check the above information. Candidates are told when to complete the details on their answer booklets. The exam is formally started when the lead invigilator announces that candidates may begin to write their answers.
- The date, subject, paper number and centre number are displayed on a screen/flipchart/whiteboard in all exam venues, together with the start and finish time and the finish time for any students with Extra Time.
- Invigilators are made aware of students with Extra Time, supervised rest breaks or any medical needs. All candidates continue their exam for the full duration, including any Extra Time.
- Examination papers may not be read by teachers or removed from the exam room before the end of a session. Papers are made available to Directors of Learning the next day.
- Candidates may only leave the exam hall for a genuine purpose with an immediate return. An invigilator must accompany them at all times.
- The Examinations Manager advises on the order of papers for students with a clash and on the length of any rest break between the papers. This rest break is taken in the exam hall under exam conditions. Where successive exams would exceed 3 hours, an earlier or later session may be used and the candidates are kept under supervision by an invigilator, without access to electronic devices/internet.
- The Lead Invigilator stops the exam at the finish time and exam conditions are maintained as students' papers, question papers and any other materials are collected in. Students are dismissed by the lead Invigilator and exam conditions are maintained until they are outside the room.

- Emergency evacuation procedures are displayed in each exam venue (see Appendix 3). In the case of an emergency advice is sought from the relevant awarding body as soon as it is safe to do so.

#### 7.8. *Verifying candidates' identity*

- Students' identity documentation is checked on admission to the academy, and full name and date of birth are recorded on the Information Management system.
- Candidates are well known to academy staff who are supervising students assembling for the exams and to the Exams Manager/Exams Officer who is present as students take their seats. A final register is taken by senior staff just before students enter the exam hall.

#### 7.9. *Candidates who arrive late*

- A candidate who arrives after the start of the examination may be allowed to enter the examination room and to sit the examination at the discretion of the Head of Centre.
- A candidate who arrives after the start of the examination will be allowed the full time for the examination, if the academy's organisational and supervision arrangements permit.
- A candidate will be considered very late if they arrive more than one hour after the awarding body's published starting time for an examination which lasts one hour or more, or, for examinations that last less than one hour, if they arrive after the awarding body's published finishing time or 30 minutes after the awarding body's published starting time, whichever is later.
- Where a candidate arrives very late for an examination, the Examinations Manager dispatches the script in the normal way and submits a written report to the awarding body in line with JCQ requirements.
- The candidate is warned that the awarding body is unlikely to accept the work.

#### 7.10. *Applications for special consideration*<sup>5</sup>

- Candidates may be eligible for special considerations if they are affected by adverse circumstances beyond their control. This applies to candidates who are present for the exam but disadvantaged, or who are absent for acceptable reasons.
- The circumstances where special consideration may apply form part of invigilators' training and are explained to staff and students prior to the start of each exam season. Students and parents are informed that, if they think they may be eligible, it is their responsibility to alert the Examinations Manager or Lead Invigilator.
- Applications must be supported by appropriate and up-to-date evidence. A candidate should bring any relevant evidence, for example a letter from their doctor, to the Examinations Manager within three days of the exam.

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<sup>5</sup> See JCQ's *A guide to the special consideration process (2020-2021)*

- The Examinations Manager submits the applications to the Awarding Body, within 7 days of the last exam in the subject.

#### 7.11. *Private candidates*

- The academy does not accept private candidates.

### 8. **Procedures relating to non-examination assessments and BTEC assignments<sup>6</sup>**

8.1. Ofqual refers to any GCSE/GCE assessment which is not an examination taken on the same day, at the same time, by all students as 'non-examination assessment' (NEA). In the academy this includes assessments such as: English language GCSE spoken language endorsement; modern foreign languages GCSE and A level speaking assessments; science A level practical skills assessments; art GCSE and A level externally set assignment; music GCSE performing and composing assessments; drama GCSE and A level performance assessments.

8.2. Assignments BTEC Qualifications adhere to the same procedures.

#### 8.3. *Managing NEAs*

- Each subject with an NEA has a published guidance document that includes internal guidance, awarding body guidance and JCQ guidance. All staff involved in the assessment sign the document to confirm they have read and understood it. This includes arrangements for securing the correct level of control.
- The Examinations Officer confirms to subject leaders the deadlines relating to their NEAs. When requested by the awarding bodies, the Examinations Officer will communicate to the subject leader/HOD the names of students whose work is required in any sample.
- Heads of department plan and arrange the assessments and ensure appropriate training for all staff involved<sup>7</sup>. They monitor the assessment processes and ensure all work is authenticated.
- In practical assessments, subject teachers and/or subject technicians are available for technical support.
- Students' work for an NEA is stored securely in a locked cupboard/cabinet unless students are working on it or teachers are marking/moderating it. Assessments completed electronically are saved into a dedicated secure area on the school network.
- Where marking is internal, moderation processes involving all teachers who mark work are managed by the Head of Department and outcomes are recorded. Heads of Department provide final marks to the Examinations Officer for submission (submission subject to changes as/when required by awarding bodies).
- Students' work for externally marked NEAs and/or assessment record sheets and samples for internally-marked NEAs are collated and dispatched by the

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<sup>6</sup> See JCQ Instructions for conducting non-examination assessments 1 Sept 2020- 31Aug 2021

<sup>7</sup> See JCQ Information for candidates – non-examination assessments Sept 2020-Aug 2021

Head of Department, who also records what has been sent, when and to whom.

- Subject leaders also liaise with visiting moderators where relevant and are responsible for making the required work and assessment records available.
- The risk management schedule for NEAs is included in Appendix 4.

#### 8.4. *BTEC assignments*

- BTEC assignment briefs and students' assignments are managed in accordance with Pearson's requirements.<sup>8</sup> They are quality assured through Pearson's internal and external verification procedures, overseen by the academy's Quality Nominee. Pearson's annual Centre Quality Review verifies these processes are in place.
- Students are responsible for their own work until it is submitted. They store it on their home drive and submit it either on paper or through a secure Dropbox on the shared drive. It is then kept in secure storage unless a teacher is marking or moderating it.
- Moderation processes are managed by the subject lead and recorded.
- The Quality Nominee confirms to Lead Internal Verifiers the samples required, and timeline, for External Verification. Samples are collated by the Lead Verifier and checked and dispatched by the Examinations Manager (see Section 7.3). The postal dispatch log records what has been sent, when and to whom.
- Further details of BTEC procedures are included in the academy BTEC Assessment, Internal Verification and Malpractice Policy, available from the Quality Nominee or the Examinations Manager.

#### *Communication to students and parents*

- Directors of Learning/Subject Leaders explain all procedures and expectations relating to non-exam assessments to students. This includes talking through the JCQ guidance to candidates which is also available on the academy's website.
- Parents are informed of the assessments within each course through options booklets and course information. They are pointed to relevant JCQ guidance on the academy's website through information at parents' events.

#### 8.5. *Appeals against internal assessments*

- The academy is committed to ensuring that staff mark candidates' non-examination assessments and assignments fairly, consistently and in accordance with the awarding body's specification and subject-specific requirements.
- Candidates' work is marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. Where a number of teachers are involved in marking candidates' work, internal moderation and standardisation ensures consistency of marking.

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<sup>8</sup>See BTEC Centre Guide to Managing Quality 2020-21

- If a candidate believes that this may not have happened in relation to his/her work, he/she may make use of the appeals procedure in Appendix 4 and 5. The main points are:
  - appeals will only be considered 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 work has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification;
  - appeals should be made in writing to the Head of Centre (Executive Principal, Mulberry Academy Shoreditch) who will decide whether the assessment process met requirements;
  - appeals should be made as early as possible and no later than two weeks before the last timetabled examination in the series;
  - the Head of Centre's findings will be notified in writing to the candidate, copied to the Examinations Manager and recorded for awarding body inspection.
- The full procedure is also available from the Examinations Manager.

## 9. Procedures relating to access arrangements<sup>9</sup>

### 9.1. *Assessment*

- As students embark on a course leading to a qualification, the SENDCo uses her knowledge of students' special educational needs and/or disabilities to identify students who may be eligible for access arrangements. She also invites subject and pastoral leaders to identify students.
- The SENDCo compiles a list of students, their needs and supporting evidence for the external assessor, from the LBTH SEN team
- Following assessment, the external assessor confirms the students who should have access arrangements and the Examinations Officer submits the applications to the Awarding Body via the JCQ website and confirms the response.
- A copy of application, evidence of need, awarding body approval and signed data protection notice is held securely in individual files in the SENDCo's office. These files are transferred to the Examination Manager's office during the exam season. .

### 9.2. *Implementing access arrangements*

- The SENDCo informs the Examinations Manager of students entitled to access arrangements. Together they plan the provision and staffing needed in each exam. The arrangements for exams will always reflect students' subject specific "normal way of working".

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<sup>9</sup> See JCQ Access arrangements and reasonable adjustments Sept 2020-Aug 2021

- The SENDCo informs subject leaders of students entitled to access arrangements so that they can be applied to non-examination assessments and on-line exams.
- Subject leaders inform the SENDCO of the dates for their non-examination assessments and on-line exams. The SENDCo supports, as necessary, with implementation of the arrangements.
- The Examinations Manager provides an examination timetable which is shared with all staff prior to the examination season. The Examinations Manager and the SENDCo schedule, as necessary, equipment (including laptops), rooms, staff and invigilators to meet the access arrangements. As far as possible, these will reflect students' normal working practice.
- The Exams Manager ensures that rooming/seating plans are such that students awarded readers, scribes or word processors are not able to overhear or distract one another.
- The SENDCo deploys the staff providing practical support such as readers/scribes and provides training to all staff who contribute to access arrangements.
- Candidates with access arrangements are identified on seating plans.

## 10. Procedures relating to results and post-results services

### 10.1. *Results download*

- The Examinations Manager accesses the downloadable files from the awarding bodies, resolve any anomalies and produce statements of results for individual candidates.

### 10.2. *Results day*

- The academy is open and staffed in the morning of results days for students to collect their results. They must attend in person.
- Candidates receive individual statements of results from academy staff. Candidates may arrange with the Examinations Manager to collect them at a later time.
- Appropriate staff are available to support students with decisions about their next steps.

### 10.3. *Post results services*

- Candidates are informed of these services in the letter detailing results day arrangements.
- *Enquiries about results (EARs)*  
This is a request for a re-mark of a particular paper. EARs may be requested by Centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.  
If a mark is queried, the Examinations Manager, teaching staff and Head of Centre will investigate the feasibility of requesting a re-mark at the academy's expense. If a candidate requires a re-mark against the advice

of academy staff, they can appeal against the decision using the procedure in Appendix 4 and paying the fee.

A request for a re-mark must have the written consent of the candidate showing that s/he is aware that the mark achieved following a remark is final and the mark could go up as well as down.

A further appeal is possible using the procedure in Appendix 4, if the Head of Centre is satisfied with the outcome of the EAR but the candidate or their parents/carers are not.

- *Access to Scripts (ATS)*

After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results (not available for GCSE).

Centre staff may also request scripts for investigation or for teaching purposes. The written consent of candidates must be obtained before the request is submitted.

Re-marks cannot be applied for once a script has been returned

#### 10.4. *Certificates*

- Candidates are informed on results day of the arrangements for collecting certificates from school.
- Certificates are presented or collected in person and signed for.
- Certificates may be collected on behalf of a candidate by a third party, provided the academy has been notified by the Candidate that they have been authorised to do so and can provide suitable identification.
- The Centre retains certificates for three years, after which time they are returned to the awarding body.

## 11. Procedures relating to malpractice

- 11.1. Teaching staff, support staff and invigilators have a duty to report any incidents of malpractice within exam or assessment procedures, by colleagues or students, to senior members of staff. Senior staff should report it to the Head of Centre.
- 11.2. In accordance with JCQ regulations, the academy will report any incident of malpractice immediately to the relevant awarding body.
- 11.3. Incidents of malpractice by candidates may result in disqualification of the candidate from the paper or assessment or possibly the whole qualification. Appendix 6 lists examples of candidate malpractice. Further details of malpractice in the context of BTEC qualifications are included in the BTEC Assessment, internal verification and malpractice policy.
- 11.4. The academy will investigate any incident of suspected malpractice in accordance with JCQ regulations<sup>10</sup>.

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<sup>10</sup> See JCQ Suspected Malpractice in Examinations and Assessments: Policies and Procedures

**SECTION C: ROLES, RESPONSIBILITIES AND TRAINING**

**12.** The Head of Centre is responsible for:

- the academy as an Examination Centre and its compliance with all JCQ/awarding body requirements relevant to the qualifications offered at the academy;
- the implementation of this policy by all staff;
- keeping this policy up to date and ensuring annual review;
- reporting all suspicions or actual incidents of malpractice;

**13.** The Senior Leader responsible for exams is responsible for:

- ensuring that the Senior Leadership Team is fully informed of the implications of this policy for the day-to-day operation of the academy;
- keeping abreast of updates and changes to JCQ requirements and ensuring that all staff are informed of these;
- ensuring all staff are appropriately informed and trained for their roles within this policy;
- line managing the examinations manager;
- quality assuring subject teams' approaches to planning, managing and moderating non-exam assessments, in line with JCQ requirements and awarding bodies' subject-specific instructions;
- monitoring the procedures in this policy and ensuring exams and non-exam assessments are run efficiently and in the best interest of students;
- with the AVP KS4/KS5, making decisions about withdrawing students from a qualification, exam or non-exam assessment and communicating this to the Examinations Manager;
- mapping overall resource management requirements for non-exam assessments over the year and resolving:
  - clashes/problems over the timing or operation of non-exam assessments;
  - issues arising from the need for particular facilities (rooms, IT networks, time out of school etc);
- ensuring that all staff have a calendar of assessment events;
- managing any internal appeals for GCSE/GCE;
- advising on Enquiries About Results.

**14.** The Quality Nominee is responsible for:

- fulfilling the role as set out in Pearson's quality assurance handbook;
- ensuring the implementation of the academy BTEC Assessment, Internal Verification and Malpractice Policy and the academy BTEC Registration and Certification Policy;
- facilitating the Centre Quality Review and acting on any action points in the report;
- keeping abreast of updates and changes to awarding body requirements and ensuring that all BTEC staff are informed of these;
- quality assuring subject teams' approaches to planning, managing, assessing and verifying assignments and students' work;
- managing any internal appeals for BTEC.

**15.** The Examinations Manager is responsible for:

- all aspects of public exams and non-exam assessment administration;
- communicating with awarding bodies and JCQ, in connection with registrations, entries, deadlines, submission of marks, claiming results, claiming certificates;

- advising the Head of Centre, Senior Leadership Team, subject and class tutors and relevant support staff on annual exam timetables, non-exam assessment deadlines and sample groups and the application of JCQ/awarding body procedures;
- producing and distributing to staff, governors and candidates an annual calendar for all exams taking place at the academy and communicating regularly with staff concerning deadlines and events;
- ensuring that candidates and their parents are informed of, and understand, those aspects of the exam timetable and JCQ/awarding body procedures that will affect them;
- scheduling exams around available spaces and liaising with the Premises Team about set-up requirements (including for the rare occasion when a non-examination assessment cannot take place in a classroom);
- sending examination arrangements and a full list of student names and seating numbers to staff the day before each exam and SLT a week in advance
- displaying candidate exam arrangements, including seating plans, on the morning of an exam;
- receiving, checking and securely storing all exam papers, other confidential material relating to assessments and completed scripts;
- with the SENDCO, administering and implementing Access Arrangements<sup>11</sup> and applying for special consideration<sup>12</sup> in accordance with JCQ requirements;
- identifying and managing exam timetable clashes;
- helping HR to source a team of external invigilators and lead invigilators responsible for the conduct of exams;
- training, deploying and monitoring the invigilation team;
- ensuring the lead invigilator completes of the examination report sheet after each exam, to record all members of staff present at any point in the exam room (with the reason), any late students and any other pertinent information;
- ensuring secure timely and recorded dispatch of examination scripts and non-exam assessment samples to awarding bodies;
- maintaining systems and processes to support the timely entry of candidates for exams and non-exam assessments;
- entering/registering candidates for qualifications and units, whether assessed by external exam, on-screen exam, non-exam assessment or assignment, before the deadline for final entries;
- assisting subject staff to submit candidates' non-examination assessment and assignment marks, and any other information required by the awarding bodies, correctly and on time; in particular, downloading and distributing mark sheets for teaching staff to use, and collecting and sending mark sheets to awarding bodies before deadlines;
- tracking return of non-examination and assessment and assignment samples;
- arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/re-mark requests;
- line managing the exams officer (in her exams role);
- with the Senior Leader responsible for exams, accounting for income and expenditures relating to all exam costs/charges;
- keeping the Senior Line Manager informed of developments in qualifications, assessments and JCQ requirements.

**16.** Senior leaders line managing faculties are responsible for:

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<sup>11</sup> See JCQ Access arrangements and reasonable adjustments Sept 2020-Aug2021

<sup>12</sup> See JCQ's A guide to the special consideration process ( 2020 -2021)

- supporting the Directors of Learning in making entry decisions where alternatives are available;
- understand the requirements of the awarding body's specification and are familiar with relevant teachers' notes and any other subject-specific instructions
- discussing the timing non-exam assessments with the Director of Learning, in the context of the whole-school schedule;
- the safe and secure conduct of non-exam assessments within their faculty areas and for ensuring all non-exam assessments comply with JCQ requirements and awarding bodies' subject-specific instructions.

**17. The SENDCO is responsible for:**

- with input from subject and pastoral teams, identifying candidates who may be eligible for Access Arrangements and arranging their assessment by an external assessor<sup>13</sup>;
- informing the Examinations Manager of students' proposed access arrangements so that she can submit the applications to the awarding body;
- preparing and storing the evidence that supports the applications;
- informing Directors of Learning of students' agreed Access Arrangements and supporting them in implementing them in non-exam assessments;
- training academy staff for their roles in Access Arrangements;
- with the Examinations Manager, planning, implementing and monitoring individuals' Access Arrangements in accordance with JCQ requirements, to help candidates achieve their course aims.

**18. Directors of Learning, working with subject leaders, are responsible for:**

- deciding on the awarding body, the specifications and the units for the qualifications offered in their faculty area and informing the Examinations Manager of any changes;
- ensuring that individual teachers understand the requirements of the awarding body's specification and are familiar with relevant teachers' notes and any other subject-specific instructions;
- decisions about entries where alternatives are available;
- accurate completion of entry and all other mark sheets and adhering to internal and external deadlines as set by the Examinations Manager and awarding bodies;
- where appropriate, ensure new assessment tasks are developed, or sample awarding body assessment tasks are contextualised to meet local circumstances, in line with awarding body specifications and control requirements;
- ensuring that they, and their subject leaders, are aware of and understand all procedures relating to examinations and non-examination assessments applicable to the qualifications/specifications in their faculty area;
- ensuring that individual teachers understand their responsibilities with regard to non-exam assessments, including producing a subject-specific guide that all teaching/assessing team members sign;
- communicating with students and parents about expectations, routines and requirements relating to other non-exam assessments;
- thorough and timely standardisation/moderation/internal verification of all internally assessed components.
- submitting marks through the Examinations Manager to the awarding body and keeping a record of the marks awarded.

**19. Teachers are responsible for:**

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<sup>13</sup> See JCQ Access arrangements and reasonable adjustments Sept 2020-Aug 2021

- forwarding qualification, exam and assessment entry information to their Director of Learning;
- understanding and complying with the JCQ and awarding body requirements for their non-exam assessments as included in their subject team's guidance booklet;
- where relevant, obtaining confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensuring that such materials are stored securely at all times;
- asking the SENDCO for any assistance required for the management of Access Arrangements.
- supervising assessments, at the specified level of control, in accordance with JCQ/awarding body requirements, only providing assistance to students as the specification allows;
- ensuring that students and supervising teachers sign authentication forms on completion of an assessment;
- marking internally assessed components using the mark schemes provided by the awarding body and participating in standardisation/ moderation activities;
- retaining candidates' work securely between high-control assessment sessions and safely for all other assessments when the students' work is on the academy site;
- post-completion, retaining candidates' work securely until the closing date for enquiries about results; in the event that an enquiry is submitted, retaining candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the Centre.

**20.** The Examinations Officer is responsible for:

- developing and publishing seating plans for each exam;
- organising the setup of the exam rooms to meet JCQ requirements and displaying regulatory and candidate information;
- collecting exam papers and other material from the Examination Office before the start of the exam and taking them to the appropriate exam hall;
- returning Examination Office equipment;
- deputising for the Examinations Manager in the case of lateness or absence.

**21.** Candidates are responsible for:

- adhering to JCQ exam requirements<sup>14</sup> at all times and observing all rules that apply when in an exam hall or under other controlled conditions;
- understanding non-exam assessment and BTEC assignment regulations and signing a declaration that authenticates the work as their own;
- reading and adhering to the exam timetable (and any timetable for non-exam assessments) and arriving for exams 15 minutes before the start time, or as directed;
- discussing any exam clashes with the Examinations Manager;
- bringing the correct equipment for the exam (Y12/13 only);
- being attentive during the exam and listening, with great care, to the invigilator's instructions before the start of an exam.

**22.** *Training for these roles*

- 22.1. The academy is committed to ensuring all staff are kept up to date with requirements relating to exams and non-exam assessments for qualifications. The exams policy is presented to all staff annually, following its review. Before the

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<sup>14</sup> See [www.gsacademyshoreditch.org.uk/exam-timetable/](http://www.gsacademyshoreditch.org.uk/exam-timetable/)

start of each exam season, all staff are also informed of procedures surrounding external exams, with a particular focus on any procedures that have changed.

- 22.2. The senior leader with responsibility for exams, the Quality Nominee and the Examinations Manager participate annually in relevant awarding body training, are part of awarding body networks for updates, and belong to local networks where available.
- 22.3. Procedures relating to exams and non-exam assessments for qualifications form part of the induction training for middle leaders and all middle leaders discuss them annually at a Leadership meeting. Middle leaders inform their teams of requirements and in particular give faculty time to discussing procedures for non-exam assessments.
- 22.4. The Exams Manager provides training for all new invigilators and annual update training for existing invigilators. A record of the content of this training and attendees is retained on file.
- 22.5. The SENDCo provides training annually to all staff who are involved in providing students' access arrangements. A record of the content of this training and attendees is retained on file.

#### SECTION D: DISTRIBUTION OF THIS POLICY

23. This policy is available to all staff on the staff shared network drive. All staff are asked to read it at the start of the academic year, via the Staff Handbook processes. All staff must sign that they have read the policy and understood their responsibilities within it. This confirmation is returned to the HR department, who ensure that all are received.
24. This policy is also available from the academy's website.

Appendix 1: Invigilator declaration - conflict of interest

At appointment, all invigilators will be required to sign the declaration below.



INVIGILATOR DECLARATION - CONFLICT OF INTEREST

I confirm that I have no conflict of interest that would prevent me from carrying out the role of invigilator in accordance with JCQ requirements.

I confirm that I am not related to current staff or students of Mulberry Academy Shoreditch.

Signed: .....

Name: .....

Date: .....

Appendix 2: The people present in the examination room (JCQ)

**Produced on behalf of AQA, CCEA, OCR, Pearson and WJEC**

**Notice to Centres: The people present in the examination room**

**The JCQ awarding bodies wish to provide further guidance and clarity on the role of centre staff in the examination room, other than exam officers and invigilators.**

**Section 10, page 28**, of the JCQ publication Instructions for conducting examinations provides clarity on who may be present in the examination room.

**The head of centre has a duty at all times to maintain the integrity of the examination** and to ensure that fully trained invigilators are in place for examinations and on-screen tests. Invigilators **must** have been trained to undertake their duties as per **section 6, page 17**, of the JCQ publication Instructions for conducting examinations.

The following rules relate to centre staff other than exams officers and invigilators.

**Senior members of centre staff**, such as Assistant Executive Principals, may be approved by the Head of Centre to be present at the start of the examination(s). When entering an examination room, they **must** identify themselves and their purpose for being there to the senior invigilator and/or exams officer.

**Where specifically approved by the Head of Centre and agreed with the Exams Officer, senior members of centre staff have a very clear role. Principally:**

- to assist with the identification of candidates;
- to deal with any disciplinary matters;
- to check that candidates have been issued with the correct question paper, (particularly where optional or tiered papers are involved);
- to check that candidates have the appropriate equipment and materials for the examination;
- to commence the examination.

**Under no circumstances may members of centre staff:**

- be present at the start of the examination and then sit and read the examination question paper before leaving the examination room;
- enter the examination room, uninvited, with the sole intention of accessing the examination question paper;
- have access to the examination question paper **unless** this is specifically requested by either the exams officer or an invigilator. For example, a possible printing error has been identified and, in the absence of an erratum notice, the exams officer needs this verified by the relevant subject teacher before escalating the issue to the awarding body;
- give any indication of their opinion of a question paper to candidates, verbally or otherwise, having been asked to inspect the content;
- communicate with candidates, except in timed Art tests, or where maintaining discipline in the examination room. This constraint extends to coaching candidates, reminding candidates which section(s) of the question paper to answer or which questions they should answer;
- enter the examination room and approach candidates, either to prompt them to make an attempt at the examination or to provide support and encouragement;
- enter the examination room and read candidates' scripts.

**Support and encouragement may be offered at any point up until the time that candidates enter the examination room. From that moment onwards they are under examination conditions and the strict protocols must be adhered to.**

## Appendix 3: Emergency evacuation procedure

**Emergency evacuation procedure for examinations**

Emergency evacuation procedures for part of the training for invigilators.

Before the start of the exam, the Lead Invigilator must ensure that s/he and all invigilators are familiar with the emergency exits from the exam space, the academy's usual evacuation procedure (red notices) and the assembly point **for exam candidates** (displayed by the emergency exit doors).

The Lead Invigilator's instructions to candidates at the start of the exam include what to do should the fire alarm ring.

In an emergency such as a fire alarm or a bomb alert, the Lead Invigilator **must** take the following action.

- Stop the candidates from writing.
- Collect the attendance register (in order to ensure all candidates are present at the assembly point).
- Advise candidates to leave all question papers and scripts in the examination room.
- Evacuate the examination room in line with the procedures explained in the training and in accordance with evacuation routes displayed
- Ensure candidates leave the room in silence.
- Take candidates to the displayed assembly point and take the register.
- Supervise candidates as closely as possible while they are out of the examination room to make sure there is no discussion about the examination.
- If it is possible to collect the papers and scripts, consider the possibility of taking the candidates to another place to finish the examination.
- Make a note of the time of the interruption and how long it lasted.
- Allow the candidates the full working time set for the examination.
- If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination. Candidates must be given the opportunity to sit the examination for its published duration.
- With the Examinations Manager, make a full report of the incident and of the action taken, and send to the relevant awarding body.

Advice must be sought from the relevant awarding body as soon as it is safe to do so. Where candidates are unable to return to the building to complete the examination, the relevant awarding body must be contacted immediately.

Appendix 4: Non-exam assessment Risk Management – 2020-21

Risks	Possible remedial action		Staff
	Forward planning to reduce risk	Action if risk occurs	
<b>Timetabling</b>			
Non-examination assessment schedule clashes with other activities	Plan/establish priorities well ahead	Determine the priority of the clashing events and act accordingly Plan future dates in consultation with school calendar	Acting Deputy Head (Assessment)
Too many non-exam assessments close together across GCSE/GCE subjects	Plan assessments so they are spaced over the duration of the course negotiating the most effective timing with subject leads	Space assessments to allow candidates time between them, as far as possible	Acting Deputy Head (Assessment)
Disruption to usual timetable/rooming where assessment requires extended time	Plan ahead; discuss and arrange with cover supervisor	If issues on day, cover supervisor to address issues with SLT	Subject lead
<b>Accommodation</b>			
Insufficient space/facilities 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 assessments	Use more than one classroom or multiple sittings where necessary Make necessary arrangements with cover supervisor and AVP for key stage	Subject lead
<b>Downloading awarding body set tasks</b>			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Consider rescheduling assessment Seek other source of tasks - AB/neighbouring centre	SLT/Exams Manager

## Examinations

September

Risks	Possible remedial action		Staff
	Forward planning to reduce risk	Action if risk occurs	
Teaching staff unable to access task details	Test secure access rights ahead of 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 assessment schedule	Exams Manager
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Exams Manager
<b>Control levels for task taking</b>			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	<p>Ensure all staff involved know what level is applicable and understand what is involved.</p> <p>Ensure all staff involved have read and understood the subject guidance booklet</p> <p>Discuss any changes/learning from previous year in team meeting</p> <p>Ensure that TAs supporting with access arrangements understand the impact of the control level on their role.</p> <p>Put up signs indicating high control so that other staff/students are aware</p>	Seek guidance from the awarding body if there has been any breach	Director of Learning and their SL line manager
<b>Supervision</b>			
Teaching staff do not understand that the supervision of non-exam assessments is their responsibility	<p>Ensure teaching staff fully understand the nature of the assessments and their role in supervising assessments</p> <p>Schedule the supervising teachers to the groups in good time. Discuss potential issues with DoL</p>	Subject lead to seek support from DoL/SL Line Manager if ongoing concern	DoL/SLT

## Examinations

September

Risks	Possible remedial action		Staff
	Forward planning to reduce risk	Action if risk occurs	
	As above ensure teachers have read and understood the guidance		
A suitable supervisor has not been arranged for an assessment where teaching staff are <b>not</b> supervising	<p>Arrange a suitable supervisor for any non-exam assessment session where a teacher is not supervising, in line with the awarding body's specification</p> <p>Discuss supervision needs with DoL and SL line manager</p> <p>Ensure supervision for students working with TAs as a result of access arrangements</p>	If no appropriate supervisor - seek immediate support from SLT	SLT
Student study diary/plan not provided or completed (* when required)	Ensure teaching staff are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	Subject Lead
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	<p>Arrange to replicate arrangements, in discussion with AVP for key stage</p> <p>Engage with attendance officer if absence ongoing</p>	Subject lead
<b>Task setting</b>			
Teaching staff fail to correctly set tasks	<p>Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification (whether AB or centre set)</p> <p>Read and discuss awarding body guidance</p>	Seek advice from the awarding body as soon as problem is identified	Subject Lead/SL Line Manager

## Examinations

September

Risks	Possible remedial action		Staff
	Forward planning to reduce risk	Action if risk occurs	
	SL and DoL to review centre-written task		
<b>Security of materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security All copies of tasks kept securely by Exam Manager/Subject Lead	If security breach, contact the awarding body to request/obtain different assessment tasks	SL line Manager/Subject lead/Exams Manager
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 Include levels of security required in subject guidance booklet Identify secure cabinet/cupboard in each subject area - only subject lead has key Students' work always in the hands of a teacher when taken out of the cupboard for continuation/marketing/moderation	If breach, seek guidance from the awarding body	Subject Lead SL Line Manager
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Subject Lead/DoL
<b>Deadlines</b>			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines and the penalties for not meeting them Ensure parents are also aware of deadlines	Mark what candidates have produced by the deadline Seek guidance from awarding body on further action	Subject lead/markers

## Examinations

September

Risks	Possible remedial action		Staff
	Forward planning to reduce risk	Action if risk occurs	
Deadlines for marking and/or paperwork not met by teaching staff	<p>Ensure teaching staff are given clear internal deadlines (prior to the awarding body deadline) to complete marking/paperwork</p> <p>Check that staff are making progress with marking in the run up to the deadline.</p>	Plan subject marking time as soon as possible so that missed deadline will not have impact on submission to AB	Subject lead
Awarding body deadlines for submitting marks/samples not met	<p>Publish clear internal deadlines for when marks/samples must be given to Exams Manager</p> <p>(Marks can then be processed and submitted ahead of awarding body deadlines)</p> <p>Plan assessment/marketing/moderation timing so that these deadlines can be met</p> <p>Remind relevant staff of the deadlines two weeks before</p> <p>Subject Lead to alert DoL/SL Line Manager and Exams Manager if internal deadline may be missed. SL Line Manager to act to remove blocks</p>	<p>Contact awarding body to inform them as soon as it is known that deadline may be missed.</p> <p>Request extension if appropriate/possible</p> <p>Support subject team to complete marking and submit the marks/samples as close to the deadline as possible</p>	<p>Exams Manager</p> <p>SL Line Manager</p>
<b>Authentication</b>			
Candidate fails to sign authentication form	<p>Ensure all candidates have authentication forms to sign</p> <p>Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking</p>	Find candidate and ensure authentication form is signed	Subject Lead

## Examinations

September

Risks	Possible remedial action		Staff
	Forward planning to reduce risk	Action if risk occurs	
Teaching staff fail to complete authentication forms	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 Check paperwork is up to date before a member of staff leaves	Subject Lead
<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practising of marking - including the standardisation activity Plan for sampling of marking during the practice phase Plan robust moderation processes	Arrange for re-marking if inappropriate marking identified through sampling/moderation Consult the awarding body's specification for appropriate procedures	Subject Lead in discussion with DoL and SL Line Manager
Centre does not run 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 Lead, checked by DoL SL Line Manager involved if there is an issue
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately. Subject Lead to attend AB training if new to the specification Ensure adequate time for moderation and involve appropriate teachers	Repeat the moderation exercise with additional teachers/subject leader from other centre if concern arises Seek guidance from awarding body if issues still evident	Subject Lead, DoL, SLT DoL/SLT

## Examinations

September

Risks	Possible remedial action		Staff
	Forward planning to reduce risk	Action if risk occurs	
	If a department of one, or only one specialist, involve a teacher from another centre  Moderation activities to be minuted and checked by DoL/SL Line Manager		SLT

## Appendix 5: Mulberry Academy Shoreditch Internal Appeals Procedure

*This Internal Appeals Procedure covers GCSE and GCE non-exam assessments, assessed by academy staff in accordance with JCQ instructions. Please see Appendix 6 for BTEC qualifications.*

### **A: Appeals against internally-assessed marks**

1. The academy is committed to ensuring that, where candidates' work is marked by staff, this is done fairly, consistently and in accordance with JCQ requirements and awarding body's specification and subject-specific associated documents.
2. The academy ensures that work produced by candidates is authenticated in line with awarding body requirements. Candidates' work is marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. Where a number of teachers are involved in marking candidates' work, internal moderation and standardisation ensures consistency of marking.
3. If a candidate believes that this may not have happened in relation to his/her work, he/she may make use of this appeals procedure.
4. **An appeal may only be made against the assessment process and not against the mark or grade awarded.**
5. Appeals must be made in writing, using the internal appeals form attached, to the Head of Centre (Executive Principal, Mulberry Academy Shoreditch). They should be made as early as possible and no later than 1 May. The appeal is logged as a complaint.
6. The CEO will appoint a senior member of staff to conduct an investigation. S/he will not have had any involvement in the internal assessment process for that subject.
7. The purpose of the investigation is to decide whether the process used for the internal assessment conformed to the awarding body's specification and subject-specific associated documents.
8. The outcome of the investigation will be submitted to the CEO. A written record will be kept and made available to the awarding body upon request. Should the investigation bring to light any irregularity in procedures, the awarding body will be informed.
9. 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.
10. 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 academy and is not covered by this procedure.

**B. Appeals against centre decisions not to support an enquiry about results**

1. Following the issue of results, awarding bodies make post-results services available. Full details of these services, internal deadlines for requesting a service and fees charged are provided by the Examinations Manager.
2. The service, *Enquiries About Results* (EARs), may be requested by centre staff or candidates (or their parents/carers). EAR service 3 is not available to individual candidates. If a query is raised about a particular examination result, the exams officer, teaching staff and the Executive Principal will investigate the feasibility of requesting an enquiry at the centre's expense. When the 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 behalf of the candidate.
3. 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' attached at least one week prior to the internal deadline for submitting an EAR.

**C. Appeals following the outcome of an enquiry about results**

1. Where the Head of Centre remains dissatisfied after receiving the outcome of an EAR, an appeal will be made to the awarding body, following JCQ guidance<sup>15</sup>.
2. Where the Head of Centre is satisfied after receiving the outcome of an EAR, but the internal candidate and/or their parent/carer are not satisfied, they may make a further representation to the Head of Centre, using the Internal Appeals Form attached.
3. The Internal Appeals Form (attached) 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. Candidates or parents/carers are not permitted to make direct representations to an awarding body.
4. Awarding body fees which may be charged for the appeal must be paid by the appellant on submission of 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.

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<sup>15</sup> See JCQ *Post-results services and A Guide to the Awarding Bodies' Appeals Processes*



Appendix 6: BTEC Internal Appeals procedure<sup>16</sup>**Appeals Procedures**

- a) It is the responsibility of the academy as an assessment centre, to make all students aware of the appeals procedure and give them access to a copy of the procedure.
- b) The member of SLT responsible for Vocational Provision is responsible for managing the formal appeals process. If deemed necessary, a formal appeals panel should be set up comprising at least three people, where at least one member is independent of the assessment process.
- c) Written records of all appeals should be maintained by the academy. These should include a description of the appeal, the outcome of the appeal and the reason for that outcome. A tracking document will be used to follow the course of an appeal, allowing it to be time tracked and verified at each stage.

**Grounds for Appeal**

- a) A student/candidate would have grounds for appeal against an assessment decision in the following situations. This list is selective and not exhaustive.
  - The work is not assessed according to the set criteria or the criteria are ambiguous.
  - The final grade of the work does not match the criteria set for grade boundaries or the grade boundaries are not sufficiently defined.
  - The internal verification procedure contradicts the assessment grades awarded.
  - There is evidence of preferential treatment towards other students/candidates.
  - The conduct of the assessment did not conform to the published requirements of the Awarding Body
  - Valid, agreed, extenuating circumstances were not taken into account at the time of assessment, which the academy was aware of prior to the submission deadline.
  - Agreed deadlines were not observed by staff.
  - The current Assessment Plan was not adhered to.
  - The decision to reject a non-exam assessment on the grounds of malpractice.

**Formal appeal procedures**

- a) If, after informal discussion with the Lead Internal Verifier (LIV), the candidate wishes to make a formal appeal, the candidate must ask the LIV, in writing, for a re-assessment. This must be done within 10 working days of receiving the original assessment result.
- b) The member of SLT responsible for Vocational Provision with the LIV, on receipt of the formal appeal from the candidate, will try to seek a solution negotiated between the relevant assessor and the candidate. If it is not possible to reach an agreement, the member of SLT responsible for Vocational Provision and the LIV will set a date for the Internal Verification Appeals Panel to meet.
- c) The Internal Verification Appeals Panel will normally meet within 2 weeks of the receipt of the appeal by the LIV, with re-assessment, if deemed necessary by the panel, taking place within 15 working days of the appeals panel meeting.
- d) The outcome of the appeal may be:
  - Confirmation of original decision;
  - A re-assessment by an independent assessor;
  - An opportunity to resubmit for assessment within a revised agreed timescale

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<sup>16</sup> Included in Green Spring Academy Shoreditch's BTEC Assessment, internal verification and malpractice policy

## Appendix 7: Student Exam Malpractice

Candidates must not become involved in any unfair or dishonest practice in any aspect of examinations, non-exam assessments or assignments that form part of the assessment for a qualification, such as:

- sitting an examination in the name of another candidate;
- having possession in the examination room of unauthorised materials such as phones, notes, cases, leaflets, bags, stereos, iPods, MP3 players or pagers;
- talking or attempting to communicate with or disturb any other candidate once the exam has started;
- failing to follow instructions issued by the Examinations Manager or invigilators during the examination;
- disruptive behaviour in the examination room;
- failing to follow the conditions of supervision designed to maintain the security of the examination or assessment;
- allowing others to assist in the production of work for, or assisting others in the production of work for, a non-examination assessment or assignment;
- working collaboratively with other candidates to produce a non-examination assessment or assignment unless instructed by their teacher;
- copying from another candidate or allowing own work to be copied;
- deliberate destruction of another candidate's work for a non-examination assessment or assignment;
- making a false declaration of authenticity in relation to the authorship of a non-examination assessment, assignment or the contents of a portfolio;
- plagiarism: unacknowledged copying from published sources or incomplete referencing;
- misusing examination and assessment materials and resources such as exemplar materials ;
- being in possession of confidential material in advance of an examination;
- including offensive or obscene material in scripts, assessments or portfolios
- theft of another candidate's work.

Malpractice of this sort could lead to sanctions which range from warnings to loss of marks, loss of certification or disqualification for candidates breaching these conditions.

Any suspected instances of student malpractice must be reported immediately to Head of Centre for investigation.



**Covid-19**

This section includes additional measures to the school's examination policy as a response to Covid-19:

- Any different year groups who have exams at the same time will take these in their year group bubble.
- To avoid whole year groups in one location for an extended period of time, mock examinations are no longer taking place in the main hall but in a number of different rooms within that year group bubble.
- Due to a potential increased number of absences in the current climate, MAS is in the process of recruiting extra invigilators so there is always adequate supervision.
- All students and invigilators hand sanitise before entering and leaving an exam room.
- Hand sanitiser is available for invigilators to use in each exam room.
- All exam desks are as socially distanced (1m+) as possible.
- Where possible, all available windows are open to provide as much ventilation as possible.
- In line with whole-school policy, all students and staff (apart from those with underlying health conditions) wear face coverings in communal areas before entering and upon exiting an exam room.
- Change of summer 2021 public examinations timetable to be communicated to staff and students via school website and general letter to parents.
- Before supervising exams, invigilators are reminded of key safeguarding procedures in their training. This includes reacting to and reporting of any student potentially showing signs of Covid symptoms by following the school's general safeguarding procedures.
- If a student has an exam and has to self-isolate due to Covid-19, usual absence procedures outlined in the general examinations policy will be followed.

## Appendix 8: Contingency plans in the event of widespread disruption

This plan examines potential risks and issues that could cause disruption to the external examination procedures at the academy. By outlining actions/procedures to be invoked in case of disruption, it is intended to mitigate the impact these disruptions have on the exam process and on students. This contingency plan is consistent with guidance at: <https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland>.

	<b>Potential causes of disruption</b>	<b>Criteria for implementation of the plan</b>	<b>Centre actions</b>
1	Examinations Manager extended absence at key points in the exam process	<p>Key tasks required in the management and administration of external exams and non-exam assessments not undertaken, including:</p> <p><i>Planning</i></p> <ul style="list-style-type: none"> <li>• annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered</li> <li>• annual exams plan not produced identifying essential key tasks, key dates and deadlines</li> <li>• sufficient invigilators not recruited invigilators/TAs not trained in implementation of Access Arrangements</li> </ul> <p><i>Entries</i></p> <ul style="list-style-type: none"> <li>• awarding bodies not informed of estimated entries which prompts release of early information required by teaching staff</li> <li>• candidates not being entered with awarding bodies for external exams/assessment</li> <li>• awarding body entry deadlines missed or late or other penalty fees being incurred</li> <li>• amendments and withdrawals not being actioned</li> </ul> <p><i>Pre-exams</i></p> <ul style="list-style-type: none"> <li>• invigilators not recruited, trained or scheduled</li> <li>• exam timetabling, rooming allocation; and invigilation schedules not prepared</li> </ul>	<p>The Examinations Officer shadows the Examinations Manager through the exam season and is able to fulfil the operational procedures needed to manage external examinations effectively</p> <p>Senior Leadership Team will identify a further member of staff to add capacity to the exams team if necessary</p> <p>The Examinations Manager has a timetable of dates and activities in the year (available on staff shared area). This indicates a member of staff who is familiar with and able to complete the activity if necessary</p> <p>Advice and support for particular activities will be sought from the Exams Officer at Mulberry School for Girls if needed</p>

	Potential causes of disruption	Criteria for implementation of the plan	Centre actions
		<ul style="list-style-type: none"> <li>• candidates not briefed on exam timetables or requirements</li> <li>• room changes not arranged and alternative rooms not booked</li> <li>• exam hall set-up schedule not produced for the site managing team</li> <li>• exam/assessment materials and candidates' work not stored under required secure conditions</li> <li>• internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators</li> </ul> <p><i>Exam time</i></p> <ul style="list-style-type: none"> <li>• exams/assessments not taken under the conditions prescribed by awarding bodies</li> <li>• laptops not prepared and put in place for students entitled to them</li> <li>• required reports/requests not submitted to awarding bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, special consideration</li> <li>• candidates' scripts not dispatched as required to awarding bodies</li> </ul>	
2	SENDCO extended absence at key points in the exam cycle	<p>Key tasks required in the management and administration of Access Arrangements not undertaken including:</p> <p><i>Planning</i></p> <ul style="list-style-type: none"> <li>• candidates not assessed to identify potential access arrangement requirements</li> <li>• evidence of need and evidence of their normal way of working not collated</li> </ul> <p><i>Pre-exams</i></p> <ul style="list-style-type: none"> <li>• Form 8 not completed and ready for JCQ inspection</li> <li>• application for Access Arrangements not submitted to Awarding Body</li> <li>• modified paper requirements not identified and/or not ordered in a timely manner</li> </ul>	<p>SENDCO has a timetable of key dates and activities that are shared with the department.</p> <p>The Deputy Director of Inclusion will collate evidence of the needs of students who may be eligible for access arrangements</p> <p>The Examinations Manager will communicate with the external assessor and the awarding bodies and inform staff of those who have been awarded access arrangements</p> <p>The Examinations Manager will schedule rooms and staff for access arrangements.</p> <p>Staff contributing to access arrangements will be trained by a member of staff with experience in providing access</p>

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	Potential causes of disruption	Criteria for implementation of the plan	Centre actions
		<ul style="list-style-type: none"> <li>staff providing support to access arrangement candidates not allocated and/or trained</li> </ul>	arrangements and the Examinations Manager. The SENDCo's training package will be used.
3	Invigilators – lack of appropriately trained invigilators or invigilator absence	<ul style="list-style-type: none"> <li>Failure to recruit and train sufficient invigilators to conduct exams</li> <li>Invigilator shortage on peak exam days</li> <li>Invigilator absence on the day of an exam</li> </ul>	<p>The Exams Officer will review and if necessary, recruit new invigilators in September each year. If recruitment seems to be difficult, Examinations Manager to work in partnership with another Centre such as Mulberry School for Girls.</p> <p>Invigilators will be trained as soon as they have DBS clearance. Where possible, more potential invigilators will be trained than needed to add capacity to the team in case of absence.</p> <p>Agency invigilators will be used in cases of last minute absence. A few members of non-classroom support staff will be trained so that they can step in in an emergency.</p>
4	Exam rooms – lack of appropriate rooms or main venues unavailable at short notice	<ul style="list-style-type: none"> <li>Examinations Manager unable to identify sufficient rooms during exam timetable planning</li> <li>An unanticipated clash of demand on a room occurs</li> <li>Main exam venues unavailable due to an unexpected incident at exam time</li> </ul>	<p>Examinations are given priority for rooming. Examinations Manager book rooms well in advance of exams and gives SLT and faculty teams good notice of room changes.</p> <p>Examinations Manager has planned back up venues. Cover manager to support with last minute changes.</p> <p>For unexpected unavailability, SLT and Examinations Manager to consider supervision of exam candidates and staggering the times of the exams if insufficient or suitable rooms are not identifiable</p>
5	Failure of IT systems	<ul style="list-style-type: none"> <li>MIS system failure at final entry deadline</li> <li>MIS system failure during exams preparation</li> <li>MIS system failure at results release time</li> <li>Internet connection failure at results release time</li> <li>Network unavailable for on-line exams</li> </ul>	<p>Ensure exam entries are submitted well before the final deadline, to allow for any MIS failure to be rectified.</p> <p>Preparation to be organised well in advance of the start of the exam season</p> <p>If MIS failure on results day, results will be downloaded from Awarding Bodies' websites. Statements of results will be</p>

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	Potential causes of disruption	Criteria for implementation of the plan	Centre actions
			<p>printed from the websites to distribute to students. To calculate the figure for TSLA SLT, the results will be manually entered onto a spreadsheet and calculated.</p> <p>If there is complete internet failure, the Examinations Manager and the Data Manager to go to Mulberry School for Girls to download results as above.</p> <p>If there is a risk of missing an available window for an on-line exam, the academy's Examinations Manager will arrange to take students to Mulberry School for Girls to sit the exam.</p>
6	Disruption of teaching time – academy or part of the academy closed for an extended period	<ul style="list-style-type: none"> <li>Centre closed or candidates unable to attend for an extended period during normal teaching or study support time, interrupting the provision of normal teaching and learning</li> </ul>	<p>CEO to communicate with parents, carers and students about the disruption to teaching time and arrangements to address this</p> <p>Relocate as many lessons as possible to an alternative centre (currently being sought). Prioritise candidates who will be facing examinations shortly</p> <p>Facilitate alternative methods of learning where possible, through web-based learning and the academy's VLE.</p> <p>Communicate with the awarding bodies for advice on managing time that remains</p>
7	Candidates unable to take examinations because of a crisis – academy remains open	<ul style="list-style-type: none"> <li>Candidates are unable to attend the examination centre to take exams as normal</li> </ul>	<p>Head of Centre to communicate with awarding bodies at the outset to make them aware of the issue</p> <p>SLT to communicate with parents, carers and students about the disruption to exams arrangements and plans to address this</p> <p>Candidates to be included at neighbouring centres wherever possible (mutual arrangements currently being made) and in agreement with the relevant awarding organisations</p>

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	Potential causes of disruption	Criteria for implementation of the plan	Centre actions
			<p>Apply to awarding bodies for special consideration for candidates</p> <p>Offer candidates the opportunity to sit any examinations missed at the next available series</p>
8	Centre unable to open as normal during the exam period	<ul style="list-style-type: none"> <li>Centre unable to open during the scheduled examination period</li> </ul>	<p>Head of Centre to communicate with awarding bodies at the outset to make them aware of the issue</p> <p>The academy will open for Exams only if this is possible</p> <p>If not possible, use the actions in 7 above – exams data is accessible remotely.</p> <p>If exam paper storage safe is not accessible, see 9 below.</p>
9	Disruption in the distribution of exam papers	<ul style="list-style-type: none"> <li>Examination papers do not reach the academy in advance of the examination</li> </ul>	<p>Exams Manager to contact the Awarding Bodies in good time to organise an alternative delivery of papers</p> <p>Exams Manager to arrange for access to the exam papers on the day of the exam through the Awarding Body's secure website</p>
10	Disruption to the transportation of completed examination scripts	<ul style="list-style-type: none"> <li>Delay in normal collection arrangements for completed examination scripts</li> </ul>	<p>Examinations Manager to ensure secure storage of completed examination scripts until collection</p> <p>If significant delay, and with the approval of the awarding body, Examinations Manager to take script packages to a post office for despatch</p>
11	Assessment evidence is not available to be marked	<ul style="list-style-type: none"> <li>Large scale damage to or destruction of completed examination scripts/assessment evidence before it can be dispatched or marked</li> </ul>	<p>Examinations Manager to contact awarding bodies immediately for guidance</p> <p>Senior Leader with responsibility for exams to open communication with Awarding Bodies to explore the possibility of awarding the candidates marks for the affected assessments based on other appropriate evidence of Candidate achievement</p>

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	Potential causes of disruption	Criteria for implementation of the plan	Centre actions
			Arrange for Candidates to retake the assessment that has been affected at a subsequent assessment window, if possible
12	Centre unable to distribute results as normal	<ul style="list-style-type: none"> <li>Centre is unable to access or manage the distribution of results to candidates, or to facilitate post results services</li> </ul>	<p>As 5 above for downloading results/preparing statements</p> <p>Post-result services will be applied for by fax, having informed the awarding bodies</p> <p>If this is the result of the centre being unable to open, an alternative venue for results collection will be sought from Mulberry School for Girls and Mulberry UTC</p> <p>SLT to contact students and parents about new arrangements and post information on school website</p>

*PTO for further guidance*

**Ofqual**

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

<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>

**JCQ**

General regulations <http://www.jcq.org.uk/exams-office/general-regulations>

Guidance on alternative site arrangements <http://www.jcq.org.uk/exams-office/forms>

Instructions for conducting examinations <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

A guide to the special consideration process <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance>

**GOV.UK**

Emergencies and severe weather: schools and early years settings <https://www.gov.uk/emergencies-and-severe-weather-schools-and-early-years-settings>

Teaching time lost due to severe weather conditions <https://www.gov.uk/government/publications/teaching-time-lost-due-to-severe-weather-conditions/teaching-time-lost-due-to-severe-weather-conditions>

Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning

<https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service/dispatch-of-exam-scripts-guide>