



The purpose of this policy is to;

- ensure the planning and management of examinations and assessments is conducted efficiently and in the best interest of candidates
- ensure that the operation of an efficient examination and assessment system for all parties
- It is the responsibility of everyone involved in the centre's examination and assessment system to read, understand and implement this policy

1. Examination and Controlled Assessment Staff Responsibilities

Head of Centre:

- Overall responsibility for the School as an exam centre

Vice Principal:

- Delegated responsibility as Head of Centre
- External validation of courses followed at key stage 4 / post-16
- Line Leader for the Examination Manager
- Ensures that all candidates have been effectively prepared for examinations
- Target setting and performance analysis
- Evaluation of examination operations

Exams Manager

- Accountable for the safe and secure conduct of public and internal exams, and controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions
- Liaises with Faculty/subject leaders to construct and coordinate annual examination and assessment arrangements
- Map annual resources to accommodate examination and assessment requirements liaising with relevant staff to resolve issues requiring specific facilities e.g. rooms, IT networks etc
- Construct and publish an examination and controlled assessment calendar for all staff and parents
- advises senior leadership, faculty and subject leaders, community leaders and other relevant support staff on examination and assessment timetables and the application of procedures as set by the various exam boards
- responsible for reporting all suspicions or actual incidents of malpractice to the Vice Principal. Refer to the JCQ document *Suspected malpractice in examinations and assessments*.
- ensures candidates and parents are informed of and understand those aspects of the exam timetable that will affect them
- Enter students for all units and cash in codes before the published deadlines. Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format
- Download and distribute marksheets for teaching staff to use, and collect and send marksheets to awarding bodies before deadlines. Submit marks to awarding bodies.
- On the few occasions where controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out, at the direction of the senior leadership team
- provide detailed data on estimated entries
- receives, checks and stores securely all exam papers and completed scripts
- administers access arrangements and makes applications for special consideration using the JCQ *Access arrangements and special considerations regulations* and *Guidance relating to candidates who are eligible for adjustments in examinations*
- accounts for income and expenditures relating to all exam costs/charges
- organises the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams



- arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with senior leaders, any appeals/re-mark requests
- manage and maintain systems and processes to support the timely entry of candidates for their exams.

Faculty Leader

- Ensure the Exams Manager is informed of entries for all units (controlled and/or external assessments) by requested deadlines.
- Follow checking procedures to ensure accuracy of entries before they are sent to the Exam Boards
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment and the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions
- Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows. Where an assessor will not be supervising the controlled assessment, he or she **must** arrange for a suitable person to do so, in line with the awarding body specification
- Ensures candidates receive information, advice and guidance on exam entries or amendments to entries
- Involvement in post-results procedures
- Accurate completion of entry, coursework declaration sheets and all other forms adhering to deadlines as set by the Exams Manager. Ensure that learners and assessors sign authentication forms on completion of an assessment
- Tracks dispatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule

Teachers

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Supply to the Faculty Leader or Exams manager details of all unit codes for controlled assessments as requested
- Ensure that learners and assessors sign authentication forms on completion of an assessment

Access to Learning department

- Ensure access arrangements have been applied for before the published deadline.
- Work with teaching staff to ensure requirements for support staff are met.
- Notification of access arrangements (as soon as possible after the start of the course).
- Administration of access arrangements
- 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



Senior invigilator/invigilators

- Collection of exam papers and other material from the Exams Manager before the start of the exam
- Adherence to the rules and regulations required by the JCQ as set out in their “Instructions for conducting examinations” booklet – a copy will be available in each exam held
- Collection of all exam papers in the correct order at the end of the exam and their return to the Exams Manager

Candidates

- Confirmation and signing of entries
- Arrival at School well in time for each exam scheduled on their statement of entry
- Resolve any queries on their Statement of Entry by checking carefully all details and exams scheduled - ensure their Faculty Leader, and the Examination Manager, is aware of any exam they will not be taking that may be shown
- Understanding controlled assessment/coursework regulations and signing a declaration that authenticates the work as their own
- Ensure all fees for retakes are paid to the School before the deadline set – failure to comply will result in penalty fees charged by the awarding bodies being passed on to the student and may also result in entries not being made

Administrative staff

- Support for the input of data
- Preparation for exams
- Checking and posting of exam papers

2. The statutory tests and qualifications offered

- The statutory tests and qualifications offered at this centre are decided by the head of centre, head of curriculum and the senior leadership team
- The statutory tests and qualifications offered include: GCE A and AS levels, GCSE, OCR Nationals and Technicals, LIBF, BTEC, NCFE VCerts.
- The subjects offered for these qualifications in any academic year may be found in the centre’s published prospectus for that year. If there has been a change of syllabus from the previous year, the Faculty Leaders must inform the Exams Manager by the end of the summer term annually.

3. Exam seasons and timetables

3.1 Exam seasons

- The schedule for internal exams is published in the School calendar.
- External exams are scheduled in November, January, May and June.
- BTEC, LIBF and NCFE exams are scheduled throughout the year.
- All internal exams are held under external exam conditions wherever possible.

3.2 Timetables

- The Vice Principal or the Exams Manager will circulate the exam timetables for both external and internal exams once these are confirmed.



4. Entries, entry details, late entries and retakes

4.1 Entries

Candidates are selected for their exam entries by the subject teachers, Faculty Leaders and the Vice Principal.

A candidate or parent/carer can request a subject entry in a minority subject – e.g. a foreign language which is their native tongue. These exams will be taken when the student is in Year 10 unless there are special circumstances agreed by the Vice Principal.

The school limits the number of early entries at GCSE to ensure pupils have the maximum time for learning and for intellectual development to be maximised. The centre does not accept entries from external candidates.

4.2 Late entries

Entry deadlines are circulated to Faculty Leaders via email and post.

All late entry requests are to be submitted to the Vice Principal for consideration. If authorized, the Vice Principal will instruct the Exams Manager to make the entry. The cost of the late fee will be charged to the faculty budget.

5. Exam fees

- GCSE, BTEC, Nationals, AS and A2 initial registration and entry exam fees are paid by the centre
- Reimbursement will be sought from candidates who fail to sit an exam or meet the necessary coursework requirements unless written medical evidence, or an explanation acceptable to the Vice Principal, is provided
- Reimbursement will be sought from candidates who choose to leave a course after a registration fee has been paid
- This fees reimbursement policy will be communicated in writing to candidates and parents/carers at the start of GCSE and post-16 courses
- Late entry or amendment fees are paid by the faculties or candidates depending on the circumstances
- Candidates or faculties 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
- The fees for any units to be retaken at the request of the candidate are to be paid by the candidate
- Candidates must pay the fee for an enquiry about a result and this will be refunded if the enquiry results in a change of grade.

6. The Disability Discrimination Act (DDA), special needs and access arrangements

6.1 DDA

- The Disability Discrimination Act 2005 extends the application of the DDA to general qualifications. All exam centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law

6.2 Special needs

- A candidate's special needs requirements are determined by the educational psychologist / Access to Learning department
- The Access to Learning department will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an exam, and the date of that exam. The Access to Learning department can then inform individual staff of any special arrangements that individual candidates may be granted during the course and in the exam.

6.3 Access arrangements

- Making special arrangements for candidates to take exams is the responsibility of the Access to Learning department and the Exams Manager



- Submitting completed access arrangement applications to the awarding bodies is the responsibility of the Exams Manager
- All applications must be notified to the Exams Manager by 21 February at the latest.
- Rooming for access arrangement candidates will be arranged by the Access to Learning department with the Exams Manager in conjunction with the cover supervisor
- Invigilation and support for access arrangement candidates will be organised by the Access to Learning department with the Exams Manager

8. Managing invigilators and exam days

8.1 Managing invigilators

- External invigilators will be used for all exam supervision
- The recruitment, training and deployment of invigilators is the responsibility of the Exams Manager
- Securing the necessary DBS clearance for new invigilators is the responsibility of the Business Manager
- DBS fees for securing such clearance are paid by the centre
- Invigilators are timetabled and briefed by the Exams Manager
- Invigilators' rates of pay are set by the Business Manager
- All new invigilators are required to be observed during the first six months and annually thereafter to ensure assessment regulations are being followed
- Existing invigilators should be observed at least once a year

8.2 Exam days

- The Exams Manager will book all exam rooms after liaison with other users and make the question papers, other exam stationery and materials available for the invigilator
- Site and Premises are responsible for setting up the allocated rooms
- The senior invigilator will start all exams in accordance with JCQ guidelines
- Subject staff may be present at the start of the exam to assist with identification of candidates but must not advise on which questions are to be attempted
- In practical exams subject teachers may be on hand in case of any technical difficulties
- Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to Faculty Leaders the following day.

9. Candidates, clash candidates and special consideration

9.1 Candidates

- The centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices apply at all times
- Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage. Mobile phones are not allowed in the exam room – failure to comply will result in disqualification from the paper or subject
- Disruptive candidates are dealt with in accordance with JCQ guidelines.
- In internal exams if a student is disruptive a malpractice statement will be completed by the member of staff, or invigilator, witnessing the disruption. The student will also be requested to complete a statement detailing what happened and the reason for it at the end of the examination. The Vice Principal will review all statements and take action that is deemed appropriate to the circumstances
- Candidates may leave the exam room for a genuine purpose requiring an immediate return to the exam room, in which case a member of staff must accompany them. It is not expected that any candidate will leave the room within 45 minutes of the start or before the end of an exam. If there is a medical reason for frequently leaving the



room then this must be advised to the Exam Manager at the earliest opportunity and supported by written medical evidence wherever possible

- Heads of Year are responsible for contacting candidates who are late for their exams, or do not turn up at all.

9.2 Clash candidates

- The Exams Manager will be responsible as necessary for identifying escorts, identifying a secure venue and arranging overnight stays.

9.3 Special consideration

- Should a candidate be too ill to sit an exam, suffer bereavement or other trauma or be taken ill during the exam itself, it is the candidate's responsibility to alert the centre, or the exam invigilator, to that effect
- Any special consideration claim must be supported by appropriate evidence within five days of the exam, for example a letter from the candidate's doctor
- The Exams Manager will then forward a completed special consideration form to the relevant awarding body within seven days of the exam.

10. Coursework and appeals against internal assessments

10.1 Coursework

- Candidates who have to prepare portfolios should do so by the end of the centre-defined date
- Faculty Leaders will ensure all coursework is ready for despatch at the correct time and will keep a record of what has been sent when and to whom
- Marks for all internally assessed work are provided to the Exams Manager by the Faculty Leaders.

10.2 Appeals against internal assessments

In the event of a concern about internal assessment procedures or outcomes, the following steps should be taken:

1. If the work has been **externally assessed** the candidate will discuss the issue with their teacher or the Head of the Faculty or the Head of Year. If there is agreement that the assessment seems inaccurate the Examinations Manager will be informed and the appeals procedures of the relevant Examination Boards will be invoked.
2. If the work has been **internally assessed but externally verified** the Examination Boards' procedures will continue to apply.
3. If the work has been **internally assessed and internally verified** the cause for concern should be discussed with the teacher who marked the work initially. This should be done within 5 working days of receipt of the result. At this point it might also be appropriate to involve the Internal Verifier and/or the Head of Faculty. The Head of Faculty will take responsibility for ensuring that the paper is remarked by the first marker and the Internal Verifier will mark the paper as well. *(If the paper was borderline verification will already have taken place as part of the School's QA policy. At this stage notes written during the marking process will be discussed.*
4. If the outcome of this process does not satisfy the candidate the Examinations Manager should be informed. This is the start of the formal appeals process. This needs to be done within 10 working days of receiving the result. The Manager must be informed in writing and the letter must make clear the exact reasons for the appeal.
5. The Examinations Manager will keep a copy of the candidate's letter and any supporting information. If any discussion takes place with the interested parties this must be recorded as well. S/he will consult with the Head of Faculty and may require that the paper is re-marked again or consideration should be given to certain circumstances.



6. If circumstances warrant it (eg. problems outside the candidate's control) then the centre might provide another opportunity for the assessment to be taken again.

7. If the problem is not resolved in the eyes of the candidate either by the re-marking process or by retesting and the Examinations Manager believes that all avenues have been pursued then the candidate can appeal to the Principal within 5 working days of receiving the final result issued by the Examination Manager.

8. As an independent arbiter the Principal will investigate the appeal and reach a final decision.

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

11.1 Results

- Candidates will receive individual results slips on results days in person at the centre or by post to their home addresses if candidates have provided a stamped addressed envelope
- Arrangements for the School to be open on results days are to be made by the Business Manager
- The provision of staff on results days is the responsibility of the Business Manager

11.2 Enquiries about Results - EARs

- EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking
- Where a candidate applies to have an enquiry carried out, they will be required to pay in advance the amount charged by the awarding body. (See section 5: Exam fees)

11.3 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. They will be required to pay in advance the amount charged by the awarding body
- If a result is queried, the Exams Manager, Faculty Leader and Vice Principal will investigate the feasibility of asking for a re-mark at the centre's expense
- Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained. The cost will be charged to the Faculty budget.
- GCSE re-marks cannot be applied for once a script has been returned.

12. Certificates

- Certificates are presented in person; they can also be collected and signed for by the students
- Certificates may be collected on behalf of a candidate by a third party, provided they have been suitably authorised in writing to do so
- Certificates may be withheld from candidates who owe fees
- The centre retains unclaimed certificates for 2 years

13. Examination Contingency Plan

This section refers to advice from JCO, see: www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland.



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

In the absence of any instruction from the relevant awarding organisation we will assume that any exam or timetabled assessment should take place if it is possible for it to do so.

In the event of a fire alarm or bomb alert sounding (or any other emergency situation arising) during an examination, the first priority of the invigilators is to preserve life. The next priority is to ensure the security of the examination.

In the event of an emergency or fire alarm sounding, the Examinations Manager will assess the situation and give further instructions. If evacuation of the examination is necessary the following procedures will apply:

14. Emergency Evacuation Procedures¹

In the event of an emergency or fire alarm sounding, the Examinations Manager will assess the situation and give further instructions.

In an emergency the Invigilator must take the following action:

- Stop the candidates from writing.
- Collect the attendance register (**in order to ensure all candidates are present**) and evacuate the examination room in line with the instructions displayed in the room.
- Advise candidates to leave all question papers and scripts in the examination room.
- Candidates should leave the room in silence.
- Lock the door to the examination room.
- Make sure that the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about 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.
- Make a full report of the incident and of the action taken, and send to the examinations manager

¹ Any amendments to these procedures need to also be amended in the Emergency Evacuation Procedures

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Risk	Early warning	Control to prevent	Control to resolve
Wrong entry made – incorrect paper		Subject teachers/HOD's ensure entry checklists are correct	Contact AB for copy of paper if necessary. Provide exam paper, seat and amend entry.
EO leaves/long term sick	Notification from EO	Regular meeting with line manager	Assistant Principal to take responsibility for exams
Damage to office		Regular premises checks	New phone line, computer and office space.
System failure or power cut			Contact IT support or Business Manager.
Receiving inaccurate or late entry information		Subject teachers/HOD's ensure entry checklists are correct and on time.	Charge late fee to department.
Change of syllabus and no notification	Pre-release material does not arrive. Materials arrive that are not expected.	Subject teachers/HOD's ensure entry checklists are correct.	Contact AB

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Risk Assessment for Controlled Assessments

Risk	Early warning	Control to prevent	Control to resolve
Assessment schedule clashes with other activities	Calendar of Events checked	Controlled assessment schedule planned at beginning of academic year	Negotiate with other parties
Insufficient facilities for all candidates		Plan ahead and book rooms/facilities in advance	Cover Co-ordinator to move timetabled classes
Internet unavailable on day of assessment	Internet/email unavailable	Download set tasks in advance of scheduled controlled assessment	Book IT equipment and support
Teaching staff unable to access task details	Teacher log in does not permit download	Test secure access rights or request assistance from Examinations Manager	Examinations Manager to download task
Candidates absent for all or part of assessment	Student not in lessons the week of assessment	Plan alternative sessions	Arrange alternative session with candidates
Assessment is undertaken with incorrect level of control		Ensure teaching staff know and understand control levels, provide training if necessary	Seek guidance from Awarding Body
Teaching staff fail to correctly set tasks		Training to ensure staff understand task setting arrangements	Seek guidance from Awarding Body
Assessments have not been moderated as required in the Specification	Moderator report	Check specification and plan moderation	Faculty Leader to arrange moderation
Candidate's work not kept secure	Candidate unable to find work	Define appropriate level of security for each subject	Each Faculty to use secure storage
Deadline not met by candidate	Work incomplete	All candidates to be briefed on deadlines	Internal deadlines set in advance of Awarding Body deadlines
Teaching staff interpret marking descriptions incorrectly	Internal moderation	Ensure training and practising of marking. Plan for sampling of marking by Faculty Leader	Work remarked
Candidate fails to sign authentication form	Form unsigned	Ensure all candidates sign and attach form to work before it is handed in	Find candidate and ask to sign form

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Teaching staff fail to complete or sign authentication form	No form attached to work	Ensure teaching staff understand importance of authentication forms. Complete forms as work is marked.	Return form to staff for completion
Awarding Body reports work of 2 candidates is identical	Letter from Awarding Body	Work checked by candidate and teacher before authentication form signed	Assistant Principal conducts investigation and reports to Awarding Body

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Risk Assessment Form (for examination procedures)

<i>Department</i>		Person completing Assessment	
Activities/Systems being assessed		Signature/Date	

	Activity	Adverse occurrence /dependency	Adverse outcome	Likelihood 1 - 3	Severity 1 - 3	Level of risk (LxS)	Control measures	Person responsible	Results
1	Absence of exams officer due to illness on exams day	EO has keys to exam store, is aware of seating plans, clashes, any special requirements	Exam papers unavailable, delayed start	3	3	9	Duplicate set of keys held by Vice Principal. Exams Assistant is aware of admin docs, papers etc	<ul style="list-style-type: none"> EO Assistant Principal Exams Assistant 	
2	Computer malfunction	Exam entries, amendments cannot be made by EDI	AB deadlines cannot be made	2	3	6	Notify IT Manager; ensure adequate supplies of paper entry sheets	<ul style="list-style-type: none"> EO Head of centre 	
3	Fire during examination	Evacuation of room	Lives endangered, exam scripts spoiled	2	3	6	Invigilators are aware of fire procedure; Adequate fire alarms	<ul style="list-style-type: none"> EO Head of centre Business Manager 	
4	Fire in sports hall, cannot use for exam	All main exams held in here - seats 300.	Insufficient exam rooms may violate JCQ rules	2	3	6	Adequate fire alarms Contingency plans for spare rooms	<ul style="list-style-type: none"> Site mgr EO Head of centre 	
5	Non-receipt of exam papers	Unable to hold exam - delayed start	Delays and upset to students	1	3	3	Check paper receipt well in advance – contact exam boards in good time	<ul style="list-style-type: none"> EO 	
6	Human error	Candidates entered for incorrect tier	Affects student grade	3	2	6	Check of procedures by student (statement of entry) and staff (entry lists) should avoid this	<ul style="list-style-type: none"> EO Head of department Student 	