



Ark Boulton
Academy

“Growing together, reaching higher”

EXAMINATIONS POLICY

2017 - 2018

Date of last review:	November 2017	Review period:	1 Year
Date of next review:	November 2018	Owner:	Daniel Richards

POLICY INFORMATION

Named personnel with designated responsibility for

Academic Year	Designated Senior Person	Deputy Designated Senior Person	Nominated Governor	Chair of Governors
2015/16	Daniel Richards	Rebecca Temple		Julie Griffiths
2016/17	Daniel Richards	Caroline Entwistle		

Policy Review Dates

Review Date	Changes Made	By Whom
January 2016	Policy created	Jacqui Bates
May 2016	Additions to the Equality Act	Jacqui Bates
July 2016	Additions to EAR advice and language	Daniel Richards
November 2016	Appendix J re-named to contingency plan	Jacqui Bates
March 2017	Appendix J reviewed and updated	Aliyah Hussain
June 2017	Appendix H updated	Jacqui Bates

Ratification by LGB

Academic Year	Date of Ratification	Chair of Governors
2015/16	November 2015	Julie Griffiths
2016/17	November 2016	Julie Griffiths

Dates of staff training for this academic year (if applicable)

Academic Year 2016/17		
Date	Course Title	Staff

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1. PURPOSE

The purpose of this examination policy is:

- To ensure the planning and management of examinations is conducted efficiently and in the best interest of candidates.
- To ensure the operation of an efficient examination system with clear guidelines for all relevant staff.
- It is the responsibility of everyone involved in the centre's examination processes to read, understand and implement this policy.
- This examination policy will be reviewed annually by the head of centre, senior leadership team, examinations manager and the governors.

2. SCOPE

Internal and external examinations and assessments.

3. RESPONSIBILITY

Examinations and Data Manager, Vice Principal (Outcomes Data and Assessment), Head of Centre (Principal).

4. TARGET

To ensure that internal and external examinations and assessments are run in compliance with the regulations from the JCQ (Joint Council for Qualifications).

5. QUALITY OBJECTIVES

To ensure good practice in the running of examinations and assessments at Ark Boulton Academy, and to provide an equal and fair opportunity for all candidates undertaking examinations and assessments at the centre.

6. HEALTH AND SAFETY IMPLICATIONS

As indicated.

7. PROCEDURE DETAIL

Examination Responsibilities

Head of Centre:

- Overall responsibility for the school as an examination centre.
- Advises on appeals and re-marks.
- Is responsible for reporting all suspicions or actual incidents of malpractice. Refer to the JCQ document suspected malpractice in examinations and assessments.

Examinations Manager:

- Manages the administration of all public and internal examinations.
- Advises the senior leadership team, subject and class tutors and other relevant support staff on annual examination timetables and application procedures as set by the various examination boards.

- Oversees the production and distribution to staff, governors and candidates of an annual calendar for all examinations in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events.
- Ensures that candidates and their parents are informed of and understand those aspects of the examination timetable that will affect them.
- Consults with teaching staff to ensure that necessary coursework is completed on time.
- Receives, checks and stores securely all examination papers and completed scripts.
- 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 and on the instruction and guidance of the SENCO.
- Identifies and manages examination timetable clashes.
- Line manages the examination administrator in organising the training and monitoring of a team of examinations invigilators responsible for the conduct of examinations.
- Submits candidates' coursework marks, tracks despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule.
- Arranges for dissemination of examination results and certificates to candidates and forwards, in consultation with the SLT, any appeals/re-mark requests.
- Maintains systems and processes to support the timely entry of candidates for their examinations.

Vice Principal:

- External validation of courses followed at Key Stage 4.
- Accounts for income and expenditures relating to all examination costs/charges.
- Provides support to ensure effective delivery of Examination Manager role.
- Facilitates contact time with students and parents in order to distribute information and materials.
- Oversees the Examination process.

Directors of Faculty:

- Guidance and pastoral oversight of candidates who are unsure about examination entries or amendments to entries.
- Involvement in post-results procedures.
- Accurate completion of coursework mark sheets and declaration sheets.
- Accurate completion of entry and all other mark sheets and adherence to deadlines as set by the examinations manager.

Subject Teachers:

- Notification of access arrangements (as soon as possible after the start of the course).
- Submission of candidates' names to heads of faculty.
- Agreement with heads of faculty any tiered entry requirements.
- Adherence to guidance on coursework and controlled assessment conditions, completion and deadlines.

SENCO:

- 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 translation for speakers of other languages, IT equipment to help candidates achieve their course aim.

Head invigilator/invigilators:

- Collection of examination papers and other material from the examinations office before the start of the examination.
- Collection of all examination papers in the correct order at the end of the examination and their return to the examinations office.
- Assistance with paperwork and dispatch of examination papers as necessary.

Candidates:

- Confirmation and signing of entries.
- Understanding coursework and controlled assessment regulations and signing a declaration that authenticates the coursework/assessment as their own, where necessary.

The qualifications offered:

- The qualifications offered at this centre are decided by the Principal and the senior leadership team.
- The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year.
- Decisions on whether a candidate should not take an individual subject will be taken in consultation with the parents/carers, heads of subject and the vice principal.

Examination seasons:

- Internal examinations can be scheduled for any time during the academic year.
- Controlled Assessments are conducted throughout the academic year.
- External examinations are scheduled by the awarding bodies, usually during May/June.
- Internal examinations may be conducted under external examination conditions.

Examination Timetables:

- Draft timetables for external examinations will be issued to students for checking.
- Once confirmed, final timetables will be issued to students. Details will also be made available on the school calendar and website.

Entries:

- Candidates are selected for their examination entries by the heads of subject.
- Candidates, or parents/carers, cannot request a subject entry, change of level or withdrawal.
- The centre will only accept entries from external candidates in exceptional circumstances, once agreed by the Vice Principal and Principal.

Late entries:

- Entry deadlines are circulated to heads of subject via email.
- Late entries are authorised by the vice principal and examinations manager.

Examination fees:

- The centre will pay all normal examination fees on behalf of candidates.
- Late entry or amendment fees are paid by departments.
- Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the awarding bodies.

- Should a candidate be absent from an external examination, Ark Boulton Academy reserves the right to pass on any charges which may have been incurred for the examination, in part or whole.

The Disability Discrimination Act (DDA), Equality Act 2010.

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

Equality Act 2010.

Statutory guidance on the Equality Act 2010 definition of disability has been produced by the Office for Disability Issues (within the Department for Work and Pensions) to help better understand and apply this definition (<http://adi.dwp.gov.uk/docs/wor/new/ea-guide.pdf>).

- Section 96 (1-6) of the Equality Act 2010 states that awarding bodies must not discriminate, harass or victimise when conferring general qualifications and have a duty to make reasonable adjustments.
- The duty for an awarding body to make a reasonable adjustment will apply where assessment arrangements would put a disabled candidate at a substantial disadvantage in comparison with a candidate who is not disabled. In such circumstances, the awarding body is required to take reasonable steps to avoid that disadvantage.
- Section 6 of the Equality Act 2010 defines disability as a 'physical or mental impairment which has a substantial and long term adverse effect on someone's ability to carry out normal day to day activities'.
- The centre will apply for reasonable adjustments for candidates defined as disabled under the terms of the Equality Act 2010. This decision will be based on evidence that supports the view that the candidate experiences persistent and significant difficulties.

The extent of reasonable adjustments available ranges from, for example, supervised rest breaks given to a candidate who has ADD (Attention Deficit Disorder) and has persistent difficulty concentrating, to the use of a reader and pre-prepared prompt cards for a candidate with profound speech and language difficulties.

A candidate's special arrangement requirements are determined by the SENCO and educational psychologist / specialist teacher. A candidate may not necessarily be disabled in order to qualify for special arrangements.

The SENCO will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an examination. The SENCO can then inform individual staff of any special arrangements that individual candidates can be granted during the course and in any internal and external examinations.

Access arrangements:

- Making special arrangements for candidates to take examinations is the responsibility of the SENCO and the examinations manager.
- Submitting completed access arrangement applications to the awarding bodies is the responsibility of the SENCO and the examinations manager.
- Rooming for access arrangement candidates will be arranged by the examinations manager with the SENCO.
- Invigilation and support for access arrangement candidates will be organised by the SENCO with the examinations manager.

Managing invigilators and examination days

Managing invigilators:

- External invigilators will be used for internal examinations and external examinations.
- The recruitment of invigilators is the responsibility of the examinations office.
- Securing the necessary Criminal Records Bureau (CRB) clearance and 'Right to Work' checks for new invigilators is the responsibility of the centre administration. CRB fees for securing such clearance are paid by the centre.
- Invigilators are timetabled and briefed by the examinations office.
- Invigilators' rates of pay are set by the centre administration.

Examination days:

- The examinations manager will book all examination rooms after liaison with other users and make the question papers, other examination stationery and materials available for the invigilator.
- Site management is responsible for setting up the allocated rooms.
- Examination and invigilation staff will start all examinations in accordance with JCQ guidelines.
- Subject staff may be present at the start of the examination to assist with identification of candidates and resolve any issues with regard to tier of entry or errors with the examination papers. However, their involvement is limited to this and they are to be directed by the examination manager and must leave the examination room as soon as they are directed to do so.
- In practical examinations and controlled assessments, subject teachers may be on hand in case of any technical difficulties.
- Examination papers must not be read by subject teachers or removed from the examination room before the end of a session. Any unused examination papers will be distributed by the Examinations Manager to heads of subject the day after the examination session.

Candidates, clash candidates and special consideration

Candidates:

- The centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices apply at all times and in all internal and external examinations and controlled assessments.
- Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.
- Disruptive candidates are dealt with in accordance with JCQ guidelines.
- Candidates are not permitted to leave an examination room within the first 60 minutes of an examination commencing.
- Candidates may request to leave the examination room for a genuine purpose after 1 hour, requiring an immediate return to the examination room. The student must be accompanied by a member of staff at all times during this absence. These absences should be minimal.
- Attempts will be made by the Year 11 progress leader, family support worker or other member of staff to contact any candidate who is not present at the start of an examination and deal with them in accordance with JCQ guidelines.

Clash candidates:

The examinations manager and vice principal will be responsible as necessary for supervising escorts, identifying a secure venue and arranging overnight stays in line with JCQ guidelines.

Special consideration:

- Should a candidate be ill before an examination, suffer bereavement, trauma, be taken ill during the examination itself or otherwise disadvantaged or disturbed during an examination, then it is the candidate's responsibility to alert the centre, the examinations manager, or the examination invigilator, to that effect.
- The candidate must support any claim for special consideration with appropriate evidence within three days of the examination, for example a letter from the candidate's doctor.
- The examinations manager will then forward a completed special consideration form to the relevant awarding body within seven days of the examination.

Coursework, controlled assessments and appeals against internal assessments

Coursework and Controlled Assessments:

- Candidates who have to prepare coursework should do so by deadlines issued by the subject teacher.
- Heads of subject will ensure all coursework/controlled assessments are ready for despatch at the correct time.
- The examinations manager will keep a record of coursework/assessments which have been sent, when and to whom.
- Marks for all internally assessed work, assessments and estimated grades are provided to the examinations office by the subject teachers and the heads of department within agreed timescales.

Appeals against internal assessments/controlled assessments:

- The centre is obliged to publish a separate procedure on this subject, which is available from the examinations office. The main points are:
 - Appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded.
 - Candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification.
 - Appeals should be made in writing by 30th June to the head of centre (or other nominee) who will decide whether the process used conformed to the necessary requirements.
 - The head of centre's findings will be notified in writing, copied to the examinations manager and recorded for awarding body inspection.

Results and enquiries about results (EARs)

Results:

- Candidates will receive individual results slips on results days in person at the centre.
- Results will not be issued over the telephone or to a third party.
- Results will be issued to staff and pupils on the advised results days, and not before.
- Arrangements for the school to be open on results days are made by the head of centre.
- The provision of staff on results days is the responsibility of the senior leadership team.

EARs:

Any student who wants to query a mark/grade awarded by an Awarding Body upon issue of results should follow the following procedure:

- Contact the examination manager and the Director of Faculty as soon as possible (but at least 10 working days before the published deadline for EARs) in person to discuss the mark/grade. The

examination manager will advise on the options available to query the mark/grade and implications involved.

- Students should be aware that EARs can result in the marks/grades being raised, confirmed or lowered. Students must sign a consent form to confirm that they understand the consequence of an EAR. Consent forms will be issued by the examination manager.
- If a result is queried, the examinations manager, teaching staff and head of centre will investigate the feasibility of asking for a re-mark at the centre's expense.

If the Department agrees to support the EAR, the examination manager will obtain the student's consent and will make the EAR request on the student's behalf.

If the Department DOES NOT AGREE to support the EAR:

- A student may appeal against the decision not to support an EAR.
- Appeals should be made in writing to the Principal at least 5 working days before the published deadline for EARs.
- The appeal should state, in detail, the reason(s) for the appeal.
- The appeal should be signed, dated and should include the contact telephone number and email address (if possible) of the student.
- The appeal information will be reviewed by the examination manager and a member of the senior leadership team.
- The outcome of the appeal will be communicated by telephone, email or 1st class post as appropriate within 48 hours of receipt.
- The decision is final.

If the Centre does not support the EAR the student may still request that the school submits the request on their behalf but all costs involved will be paid by the student at the time the EAR is made, including an administration fee.

No EAR will be made until fees are paid. If the enquiry is successful the fee (minus the admin fee) will be refunded to the student.

Outcomes following EARs will be forwarded by the examination manager to the student within 48 hours of being received from the Awarding Body.

Examination Certificates:

- Examination certificates and results are the property of the individual student, and are to be either collected in person, presented in person at awards evening, or collected by a third party requiring a signed letter of authority which will be retained for future reference.
- Enquiries for replacement certificates will be directed to the Awarding Body's web-sites, candidate must agree to pay the costs incurred.
- The centre retains certificates for two years. The JCQ requirement is that examination certificates be retained for 12 months.

8. APPENDIX A: INTERNAL APPEALS PROCEDURE

Purpose

- To outline the procedure for appealing against the process leading to internally assessed work and controlled assessments for an external qualification.

Target

- Ark Boulton Academy is committed to ensuring that whenever its staff assesses students' work for external qualification, this is done fairly, consistently and in accordance with the specification for the qualification concerned. All assessments are conducted by staff who have appropriate knowledge, understanding and skills, and who have been trained in this activity. The centre is committed to ensuring that all assessment evidence provided by candidates is produced and authenticated according to the requirements of the relevant specifications for each subject. Where a set of work is divided between staff, internal moderation and standardisation will ensure consistency.
- If a student feels that this may not have happened in relation to his/her work, she/he may make use of this appeals procedure. Note that appeals may only be made against the process that led to the assessment and not against the mark or grade submitted by the centre for moderation by the awarding body.

Procedure detail

- This procedure is available from the examinations office and is posted on the examinations notice board.
- Appeals should be made as early as possible and at least two weeks before the end of the last externally assessed paper in the examination series (e.g. the last GCSE written paper in the June GCSE examination series).
- Appeals should be made in writing by the candidate or the candidate's parent/carer to the examinations manager, who will investigate the appeal with at least two other members of staff who have not been involved in the internal assessment decision. If the examination manager was directly involved in the assessment in question, the Principal will appoint another member of staff of similar or greater seniority to conduct the investigation. Likewise if the examination manager is not able to conduct the investigation for some other reason.
- The purpose of the appeal will be to decide whether the process used for the internal assessment or controlled assessment conformed to the published requirements of the awarding body and the examinations code of practice of the QCDA.
- 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 the procedure relating to internal assessment and controlled assessments.
- The outcome of the appeal will be made known to the Principal and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any significant irregularity to light, the awarding body will be informed.

9. APPENDIX B: APPEALS AGAINST INTERNAL ASSESSMENT OF WORK AND CONTROLLED ASSESSMENTS FOR EXTERNAL QUALIFICATIONS

Ark Boulton Academy is committed to ensuring that whenever its' staff assesses students' work for external qualification, this is done fairly, consistently and in accordance with the specification for the qualification concerned. Assessments are conducted by staff who have appropriate knowledge, understanding and skills, and who have been trained in this activity. Ark Boulton Academy is committed to ensuring that assessment evidence provided by candidates is produced and authenticated according to the requirements of the relevant specifications for each subject. Where a set of work is divided between staff, internal moderation and standardisation will ensure consistency.

If a student feels that this may not have happened in relation to his/her work, she/he may make use of this appeals procedure. Note that appeals may only be made against the process that led to the assessment and not against the mark or grade submitted by the centre for moderation by the awarding body.

This procedure is available from the examinations office and is posted on the examinations notice board.

1. Appeals should be made as early as possible and at least two weeks before the end of the last externally assessed paper in the examination series (e.g. the last GCSE written paper in the June GCSE examination series).
2. Appeals should be made in writing by the candidate's parent/carer to the examinations manager, who will investigate the appeal with at least two other members of staff who have not been involved in the internal assessment decision. If the examination manager was directly involved in the assessment in question, the head teacher will appoint another member of staff of similar or greater seniority to conduct the investigation. Likewise if the examination manager is not able to conduct the investigation for some other reason.
3. The purpose of the appeal will be to decide whether the process used for the internal/controlled assessment conformed to the published requirements of the awarding body and the examinations code of practice of the QCA.
4. 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 the procedure relating to internal/controlled assessment.
5. The outcome of the appeal will be made known to the Principal and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the appeal bring any significant irregularity to light, the awarding body will be informed.

After work has been assessed internally, it is moderated by the awarding body to ensure consistency between centres. Such moderation frequently changes the marks awarded for internally assessed work; this is outside of the control of Ark Boulton Academy and is not covered by this procedure. If you have concerns about it, please ask the examination manager for a copy of the appeals procedure of the relevant awarding body.

10. APPENDIX C: MALPRACTICE AND MALADMINISTRATION

All allegations of malpractice or maladministration will be pursued in accordance with JCQ: Suspected Malpractice in Examinations and Assessments, Policies and Procedures

The following statements are taken from the above mentioned document, which should be read in full in the circumstances of an allegation:

- It will normally be expected that investigations into allegations of malpractice will be carried out by the head of centre. The head of centre must deal with the investigation in accordance with the deadlines set by the awarding body.
- Those responsible for conducting an investigation should seek evidence from which the full facts and circumstances of any alleged malpractice can be established. It should not be assumed that because an allegation has been made, it is true.
- The head of centre should consider that both staff and candidates can be responsible for malpractice.
- Where the person conducting the investigation deems it necessary to interview a candidate or member of staff in connection with an alleged malpractice, the interviews must be conducted in accordance with the centres own policy for conducting disciplinary enquires. (These are specified in “Disciplinary Policy” for staff and “Behaviour Policy Ark Boulton” for students).
- Where a member of staff or contractor has been found guilty of malpractice, an awarding body may impose one or more of the following sanctions or penalties:
 - Written warning.
 - Training.
 - Special conditions.
 - Suspension.

Awarding bodies may, at their discretion, impose the following sanctions against centres:

- Written warning.
- Review and Report (Action Plans).
- Approval of specific assessment tasks.
- Additional monitoring or inspection.
- Removal of Direct Claims status.
- Restrictions on examination and assessment materials.
- Independent invigilators.
- Suspension of candidate registrations or entries.
- Suspension of certification.
- Withdrawal of approval for a specific qualification(s).
- Withdrawal of centre recognition.

Awarding bodies may, at their discretion, impose the following sanctions against candidates:

- Warning.
- Loss of marks for a section.
- Loss of marks for a component.
- Loss of marks for a unit.
- Disqualification from a unit.
- Disqualifications from all units in one or more qualifications.

- Disqualification from a whole qualification.
- Disqualification from all qualifications taken in that series.
- Candidate debarred.

Examples of malpractice

Part 1 - Centre staff malpractice:

- Breach of security (e.g. permitting, facilitating or obtaining unauthorised access to examination material prior to an examination, tampering with candidate scripts or controlled assessments or coursework after the collection and before despatch to the awarding body/examiner/moderator, failing to keep candidates' computer files secure which contain controlled assessments or coursework).
- Deception (e.g. inventing or changing marks for internally assessed components where there is no actual evidence of the candidates' achievement to justify the marks awarded, fabricating assessment and/or internal verification records or authentication statements).
- Improper assistance to candidates (e.g. assisting or prompting candidates with the production of answers; assisting candidates in the production of controlled assessments or coursework, or evidence of achievement, beyond that permitted by the regulators, permitting candidates in an examination to access prohibited materials (dictionaries, calculators, assisting candidates granted the use of an oral language modifier, a practical assistant, a prompter, a reader, a scribe or a sign language interpreter beyond that permitted by the regulations).
- Failure to co-operate with an investigation.
- Maladministration (e.g. failing to issue candidates the appropriate notices and warnings, failing to ensure that candidates' coursework or work to be completed under controlled conditions is adequately monitored and supervised).

Part 2 - Candidate malpractice:

- A breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination or assessment rules and regulations.
- Collusion - working collaboratively with other candidates, beyond what is permitted.
- Copying from another candidate (including the use of IT to aid the copying).
- Exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examination related by means of talking, electronic, written or non-verbal communication.
- Making a false declaration of authenticity in relation to the authorship of controlled assessments, coursework, or the contents of a portfolio.
- Plagiarism- unacknowledged copying from published sources or incomplete referencing.
- Impersonation - pretending to be someone else, arranging for another person to take one's place in an examination or an assessment.

11. APPENDIX D: STAFF RESPONSIBILITIES - GCSE CONTROLLED ASSESSMENT

Senior leadership team

- Accountable for the safe and secure conduct of controlled assessments.
- Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of Key Stage 4).
- Map overall resource management requirements for the year. As part of this resolve:
 - Clashes/ problems over the timing or operation of controlled assessments.
 - Issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.).

Heads of subject

- Decide on the awarding body and specification for a particular GCSE.
- Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the summer examination series in Year 11 to satisfy the terminal assessment requirement in accordance with the awarding body specification.
- 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.
- Ensure that individual teachers understand 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 contextualise sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

Teaching staff

- 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.
- Supply to the examinations office details of all unit codes for controlled assessments, and dates assessments are to be conducted.
- 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.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the examinations 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.

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

Examinations office staff

- Enter students for individual units, whether assessed by controlled assessment, external examination or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal examination series.
- Confidential materials are directly received by the examinations office and so are to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute mark-sheets for teaching staff to use and collect and send mark sheets to awarding bodies before deadlines.
- On the few occasions where controlled assessment cannot be conducted in the classroom, arrange suitable accommodation where controlled assessment can be carried out with the direction of the senior leadership team.
- Create, publish and update an internal appeals policy for controlled assessments.

SENCO/additional learning support

- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.

12. APPENDIX E: CONTROLLED ASSESSMENT - RISK MANAGEMENT PROCESS

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
Assessment schedule clashes with other activities.	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning.	Plan dates in consultation with school calendar – negotiate with other parties.	Head of Subject
Too many assessments close together across subjects or lines of learning.	Plan assessments so they are spaced over the duration of the course.	Space assessments to at least allow candidates sometime between assessments.	Head of Subject
Accommodation			
Insufficient space in classrooms for candidates.	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment.	Use more than one classroom or multiple sittings where necessary.	Head of Subject
Insufficient facilities for all candidates.	Careful planning ahead and booking of rooms / centre facilities.		Head of Subject

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Downloading awarding body set tasks			
IT system unavailable on day of assessment.	Download tasks well ahead of scheduled assessment date in all cases.	Book IT equipment well ahead and download tasks before scheduled date of assessment.	Head of Subject
Teaching staff/assessors unable to access task details.	Test secure access rights ahead of schedule every year and every session.	Ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time.	Head of Subject
Loss of task details in transmission.	Download tasks well ahead of scheduled assessment date.	Report loss to awarding body for replacement and download again.	Examinations Officer
Absent candidates			
Candidates absent for all or part of assessment (various reasons).	Plan alternative session(s) for candidates.		Head of Subject
Candidates have a scheduling clash for examinations or assessment.	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes.	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes.	Head of Subject with Examinations Officer
Control levels for task taking			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration).	Ensure teaching staff/assessor's know what level is applicable and understand what is involved. Provide training if required.	Seek guidance from the awarding body.	Head of Subject, Teaching Staff, Exams Officer

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Supervision			
Teaching staff/assessors do not understand supervision of controlled assessment is their responsibility.	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision.		Head of Subject
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are not supervising.	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.		Head of Subject
Task setting			
Teaching staff/assessors fail to correctly set tasks.	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification.	Seek guidance from the awarding body.	Head of Subject
Assessments have not been moderated as required in the awarding body specification.	Check specification and plan required moderation appropriately.	Seek guidance from the awarding body.	Head of Subject
Security of materials			
Assessment tasks not kept secure before assessment.	Ensure teaching staff understand importance of task security.	Request/obtain different assessment tasks.	Head of Subject
Candidates' work not kept secure during or after assessment.	Define appropriate level of security, in line with awarding body requirements, for each department as necessary.	Take materials to secure storage.	Head of Subject, Examinations Officer
Insufficient or insecure storage space.	Look at provision for suitable storage early in the course.	Find alternative spaces.	Examinations Officer

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Marking			
Teaching staff/assessors interpret marking descriptions incorrectly.	<p>Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.</p> <p>Undertake internal verification of marking using cross-marking and moderation of 15% of papers in any one module.</p> <p>Borderline assessments are reviewed and verified.</p>	<p>Keep records of internal verification such as cross-marking.</p> <p>Arrange for remarking. Consult awarding body specification for appropriate procedure.</p>	Head of Subject
Deadlines			
Deadlines not met by candidates.	Ensure all candidates are briefed on deadlines/penalties for not meeting them.	Mark what candidates have produced by deadline and seek guidance from awarding body on further action.	Head of Subject, Teaching Staff
Deadlines for marking and/or paperwork not met by teaching staff/assessors.	Ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so the examinations office can process and send off marks ahead of deadlines.	Seek guidance from awarding body.	Head of Subject
Authentication			
Candidate fails to sign authentication form.	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in.	Find candidate and ensure form is signed.	Head of Subject, Teaching Staff
Teaching staff/assessors fail to complete authentication forms or leave before completing authentication.	Ensure teaching staff/assessors understand importance of authentication forms and the requirement of a signature.	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season.	Head of Subject

13. APPENDIX F: EXAMINATIONS EMERGENCY EVACUATION PROCEDURE

Purpose

- Safe evacuation of an examination room during emergency situations whilst maintaining the integrity of the examination.

Target

- To ensure that measures are in place to enable all examination candidates to safely evacuate examination rooms in times of emergency.

Procedure detail

- When the alarm system is activated the school buildings/examination building will be evacuated with immediate effect and all individuals will assemble at the assembly point.
- In the event of an emergency during an examination, should it require the evacuation of the examination room, candidates should remain silent and seated until instructions are issued by the head invigilator.
- Invigilators will be assigned to take charge over a group of candidates (usually in rows), and will lead them out through the normal emergency exits one row at a time.
- All question papers and scripts must be left in the examination room.
- Candidates must be supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination or contact with other students.
- The senior invigilator will make a note of the time of the interruption and how long it lasted.
- Candidates will be allowed the full working time set for the examination.
- The Examinations Manager will make a full report of the incident and of the action taken, and retain on file until the relevant date for enquiries about results.
- For online tests, software specific instructions should be referred to safeguard the security of assessment content and responses (by locking an assessment room which has been evacuated without closing down software).

Main School

- Examinations in the main school building are those requiring special arrangements. The invigilator for the room will follow the procedure above and then lead the student(s) to exit the building following the normal evacuation route. Students should stay with invigilation staff.

Emergency Evacuation Assembly Point

- Candidates will congregate on the paved area near the grass court, away from the rest of the school body who will congregate on the playground, but within sight, and should remain under examination conditions.
- Under no circumstances should staff/students/visitors re-enter the buildings after the evacuation until directed to do so by the Principal Teacher/Vice Principal.
- The rest of the procedure should be in accordance with the whole school Emergency Evacuation Procedure.

ATC Centre

- The Army Reserve Centre is used as the main centre for examinations. In the event of the need for evacuation, the Centre's procedure and approved evacuation route will be followed. The content of this policy will form part of the invigilator's training.

14. APPENDIX G: EXAMINATION INVIGILATION POLICY

- The Centre will advertise and recruit invigilators in accordance with its Equal Opportunities Policy.
- All staff will be DBS verified and will undertake appropriate safeguarding training.
- All invigilation staff will be trained in the conduct of examinations, using JCQ guidance and documentation prior to any their first invigilation period. This training will be repeated at least on an annual basis for existing invigilators and will cover any new or changed aspects of the invigilation process.
- New invigilators will be paired with existing experience invigilators for their first few invigilation sessions and for any new qualification.
- Only experienced invigilators will be used for special arrangements.
- The examination manager will observe and report on the conduct of each invigilator once in each examination series and repeated if necessary.
- The examination manager will maintain the database of suitably qualified, trained and experienced invigilation staff and will organise working schedules and the administration of timesheets.
- Any invigilation staff unable to work on an allocated day should inform the examination manager as soon as is practical and appropriate arrangements for cover will be organised.

15. APPENDIX H: QUALITY ASSURANCE PROCEDURE

The purpose of this policy is to provide a framework for ensuring the quality of the delivery of each qualification by centre staff for centre candidates. This policy is owned by the Vice Principal responsible for the examinations process, and will be reviewed annually in line with the Examinations Policy, of which it forms part.

- The centre is committed to quality assurance and believes it to be an integral part of the centre's processes.
- All staff involved in the examinations process will have undergone adequate and relevant training appropriate to their role.
- Invigilation is undertaken in line with JCQ guidelines and instructions, and under the centre's Examination Invigilation Policy.
- Invigilators will be observed annually to ensure regulations are being followed, and in the case of the BCS ECDL qualification all new invigilators will be observed during their first test session.
- Information from the awarding body is disseminated to all members of staff involved in the delivery of qualifications.
- The centre's policy for equal opportunities is followed and monitored.
- Where required by the awarding body, a record of learner's details and assessment data is maintained, including details of internal verification where appropriate.



16. APPENDIX J: CONTINGENCY PLAN FOR EXAMINATION PROCEDURE

Risk	Early warning	Control to prevent	Control to resolve
EO does not turn up.	Phone call.	Regular meetings with line manager.	Exams Manager would be able to step in. In the event of the Exams Manager also being unavailable, SLT to invoke back-up policy of contacting Ark Kings/Ark St. Albans team to ask for assistance. Second port of call would be the Central Data Team. If there was no support available from within school or the wider Ark network then agencies would be contacted.
EO leaves/long term sick.	Notification from EO.	Regular meeting with line manager.	Exams Manager would be able to step in. In the event of the Exams Manager also being unavailable, SLT to invoke back-up policy of contacting Ark Kings/Ark St. Albans team to ask for assistance. Second port of call would be the Central Data Team. If there was no support available from within school or the wider Ark network then agencies would be contacted.
Invigilator does not turn up.	Phone call or scripts not collected.	Invigilator timetables – sign tear off slip to confirm dates.	On busy days employ emergency invigilator or EO/EO assistant to cover.
Fire alarm goes off.			Ensure invigilators are aware of policy. SLT to assist in maintaining security of exam. Allocate specific area for exams.
Student taken ill during exam.			Invigilator aware of policy, first aider on call. Special consideration when appropriate.
Bad weather or transport problems.	Weather report.	Possible delay to start of exam.	Delay start. Contact Awarding Body, isolation of candidates if late and hold staggered sessions if necessary. Special consideration.
Students do not turn up for exam.	Pastoral lead identifies missing students in exam room.	Student timetables and information from subject teachers.	Pastoral lead rings student. Student sits exam if arrives within time limit.
Students turn up who are not entered.		Subject teachers/HODs ensure entry checklists are correct.	Find a paper, seat students, amend attendance list and make entry. Charge late fee to department. If recurring problem see SLT.
Cheating in the room.	Invigilator reports problem.	Warning to candidate and information from tutor.	Invigilator aware of policy, SLT on-call to deal with malpractice issue.
Disruption in the room.	Invigilator reports problem.	Warning to candidate and information from tutors.	Invigilator aware of policy, SLT on-call to deal with malpractice issues.
Late arrivals.	Phone call or just turn up late.	Candidate timetable and information from tutors.	Invigilator aware of policy. Complete late arrivals form.
Exam room flooded.	Check room, or invigilator	Regular premises checks.	Find alternative accommodation. Special consideration

	reports problem.		
Wrong entry made. Incorrect paper.		Subject teachers/HOD's ensure entry checklists are correct.	Contact Awarding Body for copy of paper if necessary. Provide exam paper, seat and amend entry.
Curriculum model changes.	Government white paper. Information from NAA and QCA, and Awarding Bodies.		Planning and Action Plan to implement changes. Review of job description.
Damage to office.		Regular premises checks.	Need Awarding Bodies' handbooks, new equipment, and phone line and office space. Copies of relevant information from HOD's. Contact NAA field support for assistance.
System failure or power cut.			Contact IT support or electrician and if necessary NAA field support officer for assistance. Contact Awarding Body to inform entries will be late.
Receiving inaccurate or late entry information.		Subject teachers/HOD's ensure entry checklists are correct and on time.	Charge late fee to department. If recurring problem see SLT.
Change of syllabus and no notification.	Pre-release material does not arrive. Materials arrive that are not expected.	Subject teachers/HOD ensures entry checklists are correct.	Contact Awarding Body.
HOD long term sick or leaves.	Resignation or sick note.		Replacement to be nominated and EO to have input in training.
Awarding Body communications systems fail.	Papers do not arrive, on-line systems incorrect, difficult to contact by telephone.		Contact NAA to report problem. Give extra time for checking.

The locked steel cabinet contains a file of contact (invigilators, Awarding authorities' phone numbers and websites etc.) The file is labelled "Examination Contingency Plan" and contains a copy of this Appendix.

The key holders for this cabinet are:

- Jacqui Bates
- Aliyah Hussain

This file will also be appended to cover the annual lifecycle of the Examinations process.