



Examinations Policy

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The 11-19 Exams Policy

The purpose of this Exams Policy is:

- to ensure the planning and management of exams is conducted efficiently and in the best interest of candidates;
- to ensure the operation of an efficient exam system with clear guidelines for all relevant staff and candidates.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.

The Exam Policy will be reviewed annually.

The Exam Policy will be reviewed by the Exams Officer and Assistant Headteacher with responsibility for exams.

Exam responsibilities

Exams Officer

- Manages the administration of public and internal exams;
- advises the Senior Leadership Team, subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various awarding bodies;
- oversees the production and distribution to staff, governors and candidates of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events;
- ensures that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them;
- consults with teaching staff to ensure that necessary coursework / controlled assessment is completed on time and in accordance with Joint Council for Qualifications (JCQ) guidelines;
- provides and confirms 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 publication 'Access arrangements, reasonable adjustments and special consideration'.
- identifies and manages exam timetable clashes;
- accounts for income and expenditures relating to all exam costs/charges;
- line manages the invigilation team, organising the recruitment, training and monitoring a team of exams invigilators responsible for the conduct of exams;
- submits candidates' coursework / controlled assessment marks, tracks despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule;
- arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/re-mark requests;
- maintains systems and processes to support the timely entry of candidates for their exams;
- notifies all staff of a candidate's entitlement to Exam Access Arrangements once confirmed by the Exam Boards;
- ensures that all special considerations for candidates are forwarded to the appropriate Exams Boards with all supporting evidence.

Heads of Department are responsible for:

- deciding with the Senior Leadership Team which syllabus will be taught and informing the Exams Office of any changes;
- ensuring that all exam codes are correct;
- liaising with the teachers in their department to make sure that all candidates are entered for the correct exams;

- making sure that all the entries are received by the Exams Office in time, and authorising any late entries if needed;
- submitting all estimated grades and coursework/controlled assessment grades to the Exams Office;
- ensuring that all coursework/controlled assessments are marked and dispatched on time;
- deciding on individual resit requests at GCSE in conjunction with the Assistant Head (exams).

Teachers are responsible for:

- notifying SENCo of any concerns regarding individual students who may need access arrangements requirements (as soon as possible after the start of the course);
- submission of candidates' names to Heads of Department.

The SEN Coordinator (SENCo) is responsible for:

- identification and testing of candidates and requirements for access arrangements;
- provision of additional support - with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, students who have difficult writing, English for speakers of other languages, IT equipment - to help candidates achieve their course aims.

Candidates are responsible for:

- checking their statement of entry for correct tier and exam entries;
- understanding coursework/ controlled assessment regulations and signing a declaration that authenticates the coursework/controlled assessment as their own;
- informing the centre of any circumstances which may require special consideration to be applied for.

Qualifications

The qualifications offered at this centre are decided by the Heads of Department and Senior Leadership Team.

The qualifications offered are GCE, GCSE, BTEC, OCR Nationals Level 2, Cambridge Technicals Level 3, BCS Digital Creator Level 2 and Functional Skills.

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 specification from the previous year, the exams office must be informed by the end of September.

Informing the exams office of changes to a specification is the responsibility of the Heads of Department.

Decisions on whether a candidate should be entered for a particular subject will be taken in consultation with the Assistant Head with responsibility for examinations.

Exam Series and Timetables

Exam seasons

Internal Year 11 Pre Public exams and assessments are scheduled in November, which are held under external exam conditions.

Internal Year 12 and Year 13 Pre Public exams are scheduled in January, which are held under external exam conditions.

External exams and assessments are scheduled in November and June.

The Assistant Head (exams) decides which exam series are used in the Centre in consultation with the Headteacher.

On-demand tests can be scheduled only in windows agreed between the Exams Officer and the Senior Leadership Team.

Timetables and Communication

In advance of each exam season (mock and external), examination timetables are provided by the Examinations Officer to students and staff.

A member of the Senior Leadership Team will ensure parents receive details of examination arrangements.

In advance of each exam season supporting guidance for students and/or parents is provided by the appropriate member of the Senior Leadership Team.

Entries, entry details and late entries, including retakes

Candidates are selected for their exam entries by the Head of Sixth Form and Heads of Department.

Candidates or parents/carers can request a subject entry, change of level or withdrawal.

The Centre accepts entries from external candidates.

The Centre does not act as an exam centre for other organisations.

Entry deadlines are circulated to Heads of Department via email and internal post/pigeon hole.

Late entries for retakes are authorised by Heads of Department and Exam Officer.

GCSE retakes will be permitted under exceptional circumstances. Decisions regarding individual retakes will be taken by the Assistant Head (exams) after consultation with the Head of Department. Parents/students may request a retake.

There is no exam board restriction on the number of AS module retakes. These are paid for by the candidates. AS retakes are allowed.

There is no exam board restriction on the number of A2 retakes. These are paid for by the candidates. A2 retakes are allowed.

A2 / AS retake decisions will be made in consultation with candidates, subject teachers and Heads of Department.

Exam fees

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. Departments may be charged for late withdrawals which incur a cost to the school.

GCSE entry exam fees are paid by the Centre the first time.

AS entry exam fees are paid by the Centre the first time.

A2 entry exam fees are paid by the Centre the first time.

Late entry or amendment fees are paid by the Departments.

Fee reimbursements are sought from candidates under the following circumstances:

- those who decide to sit an exam after the late entry deadline;
- those who decide to withdraw after the withdrawal deadline;
- those who fail to sit an exam;
- those who do not meet the necessary coursework requirements without medical evidence or evidence of other mitigating circumstances.

Re-sit fees are paid by the candidates for AS/A2 exams.

Disability Discrimination Act

All exam centre staff must ensure that they meet the requirements of the Disability Discrimination Act 1995 (DDA), extended in 2005, and the Disability Equality Duty (DED), introduced in 2006.

The DDA introduced measures aimed at eliminating the discrimination often faced by disabled people. The main provisions of the Act give protection to disabled people in the areas of employment and education.

A person has a disability for the purposes of the DDA if s/he has a physical or mental impairment that has a substantial and long-term adverse effect on her/his ability to carry out normal day-to-day activities. To find out more about the requirements of the DDA visit the DDA information page on the QCDA website.

The centre will meet the disability provisions under the DDA (or the Equality Act 2010 once in force), by ensuring that the Exams Centre is accessible and improving candidate experience. This is the responsibility of the Head of Centre and Exams Officer.

Access arrangements

Some candidates may be entitled to access arrangements. This can occur where a candidate has a significant difficulty or disability which has a clear, measurable and substantial adverse effect on their performance. The Centre has a responsibility to clearly explain candidates' normal way of working, and to clearly demonstrate the need for any access arrangements. It is the responsibility of the SENCO to assess whether candidates should be entitled to access arrangements, and to store all relevant evidence. If parents have concerns regarding their son/daughter, they should contact the SENCO. The Centre does not accept privately commissioned assessments or reports.

If the SENCO believes that a candidate should be entitled to access arrangements, s/he must then inform the Exams Officer, who will in turn submit access arrangement applications to the Awarding Body. The Exams Officer will then inform Heads of Department where access arrangements have been granted and make all necessary arrangements.

Where a candidate suffers a temporary injury or impairment, the Exams Officer will investigate whether access arrangements are appropriate. The Exams Officer is responsible for making access arrangements for candidates to take exams, including rooming, invigilation, and providing appropriate support for candidates who require access arrangements. For example a student who contacts the school as they have broken a wrist on the evening before their first exam. The Exams Officer would discuss if the student would feel happier with a scribe or the use of a laptop or both depending on which exams are to be taken. They Exams Officer would arrange for extra time to be allocated and rest breaks depending on pain levels. Each injury is looked at on an individual basis and discussed with the student and parents before their exams start.

Contingency planning

Contingency planning for exams administration is the responsibility of the Assistant Head (exams).

Managing Invigilators

The school's invigilators will be used for internal exams and external exams.

Recruitment of invigilators is the responsibility of the Exams Office.

Securing the necessary Disclosure Barring Service (DBS) clearance for new invigilators is the responsibility of the Centre administration.

DBS fees for securing such clearance are paid by the Centre.

Invigilators are timetabled and briefed by the Exams Office.

Invigilators' rates of pay are set by the Centre administration.

Malpractice

The Exams Office is responsible for investigating suspected malpractice and reporting to the Head of Centre.

Exam days

The Exams Officer will book all exam rooms after liaison with other users and make the question papers, other exam stationery and materials available for the invigilator.

The Site Manager is responsible for setting up the allocated rooms.

The Exams Officer or nominated invigilator will start all exams in accordance with JCQ guidelines.

In practical exams subject teachers may be on hand in case of any technical difficulties otherwise teaching staff may not be present in any exam room.

Papers will be distributed to Heads of Department at the end of the exam session.

A relevant subject teacher may be available to read out any subject-specific instructions and start the exam, if required.

Candidates

The Centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and other electronic devices apply at all times.

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 expected to stay for the full exam time at the discretion of the exams officer or senior invigilator.

Note: candidates may only leave the exam room for a genuine purpose and are required to return immediately to the exam room. They must be accompanied by a member of staff at all times.

The Exams Officer is responsible for handling late or absent candidates on exam day or subsequently.

Clash candidates

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

Special consideration

Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre, the Exams Officer, or the exam invigilator, to that effect.

The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example by providing a letter from the candidate's doctor.

The Exams Officer will then forward a completed special consideration form to the relevant awarding body within seven days of the exam.

Private candidates

Managing private candidates is the responsibility of the Exams Officer.

Internal Assessments and Appeals

Internal assessment replaces the largely discontinued term coursework

It is the duty of Heads of Department to ensure that all internal assessment is ready for despatch at the correct time. The Exams Officer will assist by keeping a record of each despatch, including the recipient details and the date and time sent.

Marks for all internally assessed work and estimated grades are provided to the Exams Office by the Heads of Department.

Appeals against internal assessments must be made by the 15th September of each year.

Appeals against internal assessments

The process for managing appeals against internal assessments is detailed in a separate appeals policy. (See Appendix 1).

Results

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

Candidates will receive individual result slips on results days, in person at the Centre.

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

The provision of staff on results days is the responsibility of the Exams Officer.

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. The candidate's consent is required before any EAR is requested.

If a result is queried, the Exams Officer, teaching staff and Head of Centre will investigate the feasibility of asking for a re-mark at the Centre's expense.

When the Centre does not support a candidate's or parent's request for an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged.

Where papers are remarked, results can go down as well as up.

Access to Scripts (ATS)

After the release of results, candidates may ask subject staff to request the return of papers by 15th September each year.

Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained and the appropriate form signed. This will be charged to the department.

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

Certificates

Certificates will be issued in school to candidates who have remained on the school roll. Certificates for those who do not return to school will be posted (first class).

Certificates can be collected on behalf of a candidate by third parties, provided they have written authorisation to do so.

Certificates are withheld from candidates who owe fees.

The Centre retains certificates for one year.

A transcript of results may be issued if a candidate agrees to pay the costs incurred.

Emergency Procedure

In the unlikely event of a fire alarm, bomb alert or other serious emergency during an exam, the following will apply:

- There are two types of warning bells in the school. The first is a continuous bell which is the fire alarm bell and the exam invigilators will be notified if the candidates need to evacuate. The second is five short bells followed by a gap and then five more. This means that you should stay in the room and the exam invigilators will receive further instructions;
- Once it has been established that evacuation of the building is required, the candidates will be asked to stop writing and turn their paper over. The invigilators will make a note of the time;
- The candidates must leave their question and answer papers along with any equipment on their desks. All personal possessions are to remain in the room;
- The candidates will be reminded that they can be disqualified if they communicate with each other or any other person at ANY time whilst outside of the examinations room or in the process of returning to the examinations room;
- The candidates will be asked to leave the room quickly and quietly in single file and in their seating order;
- The invigilators/staff will accompany the candidates at all times;
- They will be accompanied to the field behind the Sports Hall away from other students;
- A note will be made of how much time the candidates are out of the exam room;
- An attendance register using the seating plan will be taken and the invigilator will ensure that the candidates are lined up in that order;
- During the period of evacuation an invigilator will stay local to the examination room to ensure security of papers, if it is safe to do so;
- When instructions are given, the candidates undertaking exams will be dismissed from the allocated area first and should return to the examination room in silence;
- The attendance register will be retaken to ensure all the candidates have returned to the exams room;
- The exam will recommence allowing the candidates to have the correct remaining amount of time to finish the examination;
- A report will be completed by the Exams Officer detailing the incident.

APPENDIX 1

Furze Platt Senior School Internal Assessment Appeals Procedure

GCSE controlled assessments and GCE coursework units

Furze Platt Senior School is committed to ensuring that whenever its staff marks candidates' controlled assessment/coursework this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. Furze Platt Senior School is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

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.

N.B: an appeal may only be made against the assessment process and not against the mark submitted to the awarding body.

1. Appeals should be made as early as possible, and no later than two weeks before the last timetabled examination in the series (e.g. the last GCSE written paper in the June GCSE examination series).
2. Appeals **must** be made in writing by the candidate's parent/carer to the examinations officer.
3. The Head of Centre will appoint a member of the Senior Leadership Team in charge of exams, to conduct the investigation. The senior member of staff will not have had any involvement in the internal assessment process for that subject.
4. The purpose of the appeal will be to decide whether the process used for internal assessment conformed to the awarding body's specification and subject-specific associated documents.
5. 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.
6. The outcome of the appeal will be made known to the Headteacher 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 irregularity in procedures to light, the awarding body will be informed.

After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation process may lead to mark changes. This process is outside the control of Furze Platt Senior School and is not covered by this procedure.

APPENDIX 2

Controlled Assessment Policy

Procedure

Departments complete the Controlled Assessment part of the External Assessment – Departmental Request Form and submit it to the Examinations Officer. The Assistant Head (Assessment) will then confirm whether the Controlled Assessment can take place at the requested time. This will happen during the summer term of the year preceding the Controlled Assessments taking place.

If departments wish to change or further specify the timing of their Controlled Assessments, they must submit this request to the Examinations Officer. The Assistant Head (Assessment) will confirm whether this change or further specification is acceptable.

Where Controlled Assessments occur under high levels of control, and where students are using computers, then the IT technicians must be informed at least four weeks in advance. The IT technicians will then ensure that the internet is disabled and that learners only have access to their work during the lessons when Controlled Assessment is taking place.

Setting Controlled Assessments

- Departments must check whether tasks are to be set by the Awarding Body or by departments themselves. This information is contained in the subject specifications.
- Teaching and Controlled Assessment must be entirely separate.
- Candidates should know the assessment criteria.
- It is acceptable to give candidates mark schemes.
- Learners must not be given writing frames during Controlled Assessment.
- Learners can, under some circumstances, be given topic headings for parts of work.

Completing Controlled Assessments

- Awarding Bodies will impose a high, medium or low level of control.
- In general practical subjects are low or medium level.
- In general academic subjects are high level.
- The greatest confusion arises with medium level control – so checking with Awarding Bodies is essential.

High/Formal Level of Task Taking

- Learners must be directly supervised at all times.
- Learners may not access email, internet, mobile phones or other digital devices. Phones must be switched off and in bags.
- Exam invigilators are not required.
- The notices provided by the Exams Office must be displayed.
- Any display material that would be helpful must be removed.
- Staff must use the 'Controlled Assessment Supervision Log' (Appendix) to record the time and date of assessment, the name of supervisors, lists of absences. Staff must keep log of any incidents. These should be emailed or handed to the Examinations Officer.

Medium / Informal Level of Task Taking

- The use of resources is not tightly prescribed.
- Group work may be permitted.
- Assessable outcomes must be attributable to individual learners.
- There is no need for direct supervision at all times.
- No plagiarism is allowed.
- Sources must be clearly identified.
- Work must be the candidate's own.

Low / Limited Level of Task Taking

- Work may be completed without direct supervision.
- Awarding Body will give parameters.

Resources

- In general, use of the Internet is permissible in research and planning stages; not when final work is being word processed or written.
- Direct and indirect quotations MUST be attributed using quotation marks.
- Use author, year, page number.
- Use precise web page address plus date of downloading.

Collaboration and Feedback

- Specifications may permit collaboration eg when undertaking research but the final work must be the candidate's own.
- Feedback is permitted but the nature of any guidance and details of any feedback must be clearly reported. Any advice to individual candidates over and above that given to the class as a whole must be recorded separately. Feedback should be logged on the 'Controlled Assessment Feedback Log (see below).' This is to be emailed or given to the Examinations Officer.

Students with Extra Time

- Many students are entitled to up to 25% extra time in their examinations. They are also entitled to that 25% extra for Controlled Assessment. Subject teachers should ensure that appropriate arrangements are in place to ensure they have their extra time. One way to manage this is to have a longer window for Controlled Assessment than most students will need. Most students will therefore finish their Controlled Assessment early, and can move onto other tasks set by the teacher. Those who require extra time, or who have missed lessons, can then complete their Controlled Assessment in the window available.
- The Examinations Officer will ensure that Heads of Departments have the names of these students.

Use of Images

Where learners include videos or photos of themselves to be used in Controlled Assessments, subject teachers must check with the Office that consent has been given by parents/carers. No videos or photos of students may be used without parental consent.

Security

- Work should be stored by subject departments.
- Written work must be secured in a locked metal cabinet.
- Where there is a practical need, materials can be left in a locked classroom from the end of one session to the start of the next. This may also happen where materials need to dry overnight etc.

Authentication Procedures

- Work must be authenticated by candidates and teachers, using the authentication form produced by awarding bodies or the Furze Platt version.
- Where work has not been authenticated, Awarding Body will give 0 marks.

Internal and External Standardisation

- There must be one person in overall charge of standardisation for each specification (usually the Head of Department or Key Stage 4 manager).
- There should be trial marking exercises before marking of all scripts.
- Standardisation procedures should take place after marking of all scripts.
- Details on annotation are included in the JCQ Instructions for conducting Controlled Assessments.
- Departments must retain evidence that internal standardisation has been carried out.
- Procedures for external standardisation are similar to coursework.

- Refer to Awarding Body specifications or to JCQ Instructions for Conducting Controlled Assessments.

Submission of Marks

- Marks must be submitted to the Awarding Body by the required date.
- Samples required for external moderation must be despatched.
- Those not required for moderation must be stored securely until all possible post-results services have been exhausted.
- Assessments can be returned after deadline for enquiries about results has passed or after an enquiry about results has been exhausted.

Malpractice

Candidates must not:

- Submit work which isn't their own.
- Lend their work to others.
- Allow others to use their own independently sourced material.
- Use any information without attribution.
- Any malpractice must be reported to the Examinations Officer.

Miscellaneous Controlled Assessment Issues

- Candidates may appeal against the marks awarded by the school using the school's Appeals Procedure.
- Candidates suffering prolonged absence may be able to submit a reduced quantity of work provided all assessment objectives have been covered. A special consideration form exists for this.
- Candidates wishing to re-do their Controlled Assessment before marks are submitted must do a different task.
- Candidates wishing to resit their Controlled Assessment after marks have been submitted can do the same task, but their work must be entirely new.

APPENDIX 3

FPSS Staff Responsibilities - GCSE Controlled assessments

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 are spread throughout the academic years of Key Stage 4.)
- Map overall resource management requirements for the academic 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);
- Ensure that all staff involved have a calendar of events.
- Create, publish and update an internal appeals policy for controlled assessments.

Heads of Department

- Decide on the awarding body and specification for a particular GCSE.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers fully understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers fully understand the requirements of the awarding body's specification, 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 the awarding body's specification and control requirements.
- Supply to the exams office details of all unit codes for controlled assessments
- 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.
- Ensure that candidates and supervising teachers sign authentication forms on completion of an assessment.
- 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 center.

Teaching staff

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body's specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to candidates as the specification allows.
- Mark internally assessed components using the mark scheme provided by the awarding body. Submit marks to the awarding body by the published deadline, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Ask the appropriate special educational needs coordinator (SENCo) for any assistance required for the administration and management of access arrangements.

Exams Office staff

- 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.
- **In exceptional circumstances** where controlled assessments cannot be conducted in the classroom arrange suitable accommodation where controlled assessments can be carried out, at the direction of the senior leadership team.

Special Educational Needs Co-ordinator/additional learning support

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

APPENDIX 4

Risk Management Process

| Example risks and issues | Possible remedial action | | Staff |
|--|---|--|-------------------------------------|
| | Forward planning | Action | |
| Timetabling | | | |
| Controlled assessment schedule clashes with other activities | Plan/establish priorities well ahead (e.g. at the start of the academic year) | Plan dates in consultation with school calendar – negotiate with other parties | Assistant Head in charge of exams |
| Controlled assessments close together across GCSE subjects | Plan controlled assessments so they are spaced over the duration of the course | Year 10/11 Assessment Plan given to parents in September at information evening and website. | AHT and DHT in charge of Curriculum |
| Accommodation | | | |
| Insufficient space 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 controlled assessments | Use more than one classroom or multiple sittings where necessary This must be flagged by cover co-ordinators | HOD |
| Insufficient IT facilities | Careful planning ahead and booking of rooms / centre facilities | | HOD |
| IT accounts not set up for high level controlled assessment | Meet IT team well in advance of the assessment to set up accounts | Book suitable rooms | HOD |
| Failure to give Access Arrangements | Plan in advance which students require Access Arrangements and make sure requirements are in place e.g. laptop/TA, | EO to upload and update regularly list of students with Access Arrangements | Teaching Staff / EO |

| 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 | HOD |
| Teaching staff unable to access task details | Test secure access rights ahead of controlled 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 controlled assessment schedule | HOD |
| Loss of task details in transmission | Download tasks well ahead of scheduled assessment date | Contact awarding body and ask for replacement task; download again | HOD |
| Absent candidates | | | |
| Candidates absent for all or part of assessment (various reasons) | Plan alternative session(s) for candidates | Schedule catch up sessions to ensure time entitlement is met | HOD |
| Control levels for task taking | | | |
| The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration) | Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required | Seek guidance from the awarding body | HOD reporting to SLT Line Manager |

| Example risks and issues | Possible remedial action | | Staff |
|---|---|--|--|
| | Forward planning | Action | |
| Supervision | | | |
| Student study diary/plan not provided or completed* | 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 | HOD dependant on subject specification |
| Teaching staff do not understand that the supervision of controlled assessments is their responsibility | Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments | | HOD reporting to SLT Line Manager |
| A suitable supervisor has not been arranged for an assessment where teaching staff are not supervising | A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the awarding body's specification | | HOD |
| Access levels are not set up at appropriate levels for specification in ICT areas. | Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments | Meet with ICT team well in advance of assessment to set up correct levels | HOD |

* Not all GCSE controlled assessments will require the completion of a study diary or study plans

| Example risks and issues | Possible remedial action | | Staff |
|--|---|---|--|
| | Forward planning | Action | |
| Task setting | | | |
| Teaching staff fail to correctly set tasks | Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification** | Seek guidance from the awarding body | HOD |
| Assessments have not been moderated in line with the awarding body's specification | Check specification and plan required moderation appropriately | Seek guidance from the awarding body | HOD |
| Security of materials | | | |
| Assessment tasks not kept secure before assessment | Ensure teaching staff fully understand the importance of task security | Contact the awarding body to request/obtain different assessment tasks | EO and HOD |
| 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 | Seek guidance from the awarding body | HOD |
| Insufficient or insecure storage space | Look at provision for suitable storage at the start of the GCSE course | Find alternative storage within the centre | HOD and ICT Manager and EO where appropriate |
| Loss of work, hard copies and electronic versions | Ensure teaching staff fully understand the importance of task security | Inform EO and Line manager of any loss as soon as discovered, so it can be reported to the Exam Board | HOD |
| Malpractice | Inform all teaching staff of JCQ requirements. at the beginning of the academic year. | Send out JCQ and School Exam Policy at the beginning of the academic year | EO |

* All tasks whether set by the awarding body or the centre **must** be developed in line with the requirements of the specification.

| Example risks and issues | Possible remedial action | | Staff |
|--|--|--|-----------------|
| | Forward planning | Action | |
| Deadlines | | | |
| Deadlines not met by candidates | Ensure all candidates are briefed on deadlines and the penalties for not meeting them | Mark what candidates have produced by the deadline Seek guidance from awarding body on further action | HOD |
| Deadlines for marking and/or paperwork not met by teaching staff | Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines) | Seek guidance from awarding body | HOD |
| Medical absence/ Long term medical condition | Ensure teaching staff are aware as soon as possible of any condition. | Medical needs email to staff regularly, seek guidance from SENCo. | SENCo / EO/ HOD |
| Authentication | | | |
| Candidate fails to sign authentication form | Ensure all candidates have authentication forms to sign Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking | Find candidate and ensure authentication form is signed | HOD |

| Example risks and issues | Possible remedial action | | Staff |
|--|--|--|-------|
| | Forward planning | Action | |
| Teaching staff fail to complete authentication forms or leave before completing the authentication process | 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 inform EO of any issues. | HOD |
| Marking | | | |
| Teaching staff interpret marking descriptions incorrectly | Ensure appropriate training and practicing of marking Plan for sampling of marking during the practice phase | Arrange for remarking Consult the awarding body's specification for appropriate procedures | HOD |
| 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 | HOD |

APPENDIX 5

BTEC Appeals Procedures

All students will be informed about the Appeals Procedure and have access to a copy of the written procedure.

The Appeals Procedure is set in three stages and will be overseen by the Quality Nominee.

The Head of the Centre will be provided with any appeals and their outcome.

There are only 3 grounds on which a learner can appeal:-

- 1. If he/she feels the grading criteria were being met and the teacher failed to recognise this***
- 2. If he/she feels that they have not been supported appropriately during the assessment of the unit by the assessor***
- 3. If the teacher is not willing to accept alternative evidence as meeting the evidence requirement***

Stage 1 - (This stage should be undertaken within 3 working days)

1. The learner communicates the grounds for appeal to the assessor by completing the stage 1 of the Appeals form and providing the evidence for assessment. The learner can obtain the form from the Programme Manager.
2. The assessor makes the Programme Manager and Quality Nominee aware of the grounds for appeal and then re-assesses the work in the normal way against the unit requirements.
3. The assessor will complete the outcome part of the stage 1 form.
4. The assessor communicates the re-assessment to the learner and makes the Programme Manager aware of the outcome.
5. If the learner is still dissatisfied with the outcome of the first stage of appeal then they can progress to stage 2.

Stage 2 – (This stage should be undertaken within 3 working days)

1. The learner communicates the grounds for appeal by completing the second stage of the appeals form and supplying the relevant evidence to the Lead Internal Verifier – unless the initial decision was made by the Lead Internal Verifier, in which case another assessor from the same programme, or a Lead Internal Verifier from another programme undertakes this role.
2. The Lead Internal Verifier, or other verifier, makes the Quality Nominee aware that the appeal has reached the second stage. The Programme Manager internally verifies the work in the normal way against the unit requirements.
3. The Lead Internal Verifier will complete the outcome part of the stage 2 form.
4. The Lead Internal Verifier communicates the outcome of the internal verification to the learner. He/she will also make the assessor and quality nominee aware of the outcome.
5. If the learner is still dissatisfied with the outcome of the second stage of appeal then we move to the final stage of appeal.

Stage 3 – (This stage should be undertaken within 5 working days)

1. The learner communicates the grounds for appeal by completing the final part of the Appeals form and supplying the relevant evidence to the Quality Nominee.
2. At this stage the Quality Nominee will call a meeting of at least 3 people to re-examine the evidence (at least one of whom should not have been involved with the assessment decision) from the team of BTEC assessors and Lead Internal Verifiers.
3. The work will be re-examined by this team and they will complete the part of the Stage 3 form.

4. The Quality Nominee will then hold a meeting with the Head of Centre and learners concerned to communicate the outcome of the appeal.
5. Learners can be allowed to have representation by a parent/guardian if requested.
6. Written records of all appeals should be kept by the school including the outcome of the appeal and reasons for the outcome.
7. A copy of the appeals record should be given to the learner.
8. Full details of any appeal must be made available to Edexcel on request.
9. Edexcel should be informed by the school if any outcome of an appeal has implications for the conduct of assessments of the issue of results at the school.

Edexcel will consider an appeal from the Centre only after the Centre's own internal appeals procedure has been exhausted. Edexcel generally expects most appeals from individual learners to be resolved within the Centre.

Edexcel will only consider appeals submitted by the Head of Centre/Principal. The following are situations where an appeal can be made:

- the Centre disagrees with the outcome(s) from Edexcel's external quality assurance activities
- the Centre questions an approval (centre or qualification approval) or a qualification decision (e.g. malpractice) made by Edexcel
- a learner considers that a decision continues to disadvantage her/him even after the outcome of the Centre's Internal Appeals Procedure.

BTEC Centre Malpractice Procedures

Definition of Malpractice

Centre malpractice relates to the conduct of the assessments and/or the processing of candidates work, mark sheets, cumulative assessment records, certificate claim forms, etc.

Examples of Centre Malpractice:

- Failing to despatch/provide candidate's coursework to the Standards Verifier/Lead Internal Verifier for Quality, Review and Development.
- The inappropriate retention of certificates.
- Failing to retain candidate's coursework in secure conditions after the authentication statements have been signed.
- Failing to report an instance of suspected candidate malpractice in assignments to the appropriate awarding body as soon as possible after such an instance occurs or is discovered.
- Failing to conduct a thorough investigation into suspected assessment malpractice when asked to do so by an awarding body.

Investigations resulting from allegations of malpractice will be investigated by the Headteacher. Any Centre staff suspected of malpractice will be informed of their responsibilities and rights in the first instance.

BTEC Candidate Malpractice Procedures

Teachers are responsible for checking the validity of the learners' internally assessed units. This will avoid candidate malpractice.

Examples of Candidate Malpractice:

- Making a false declaration of authenticity. (Example, when sections of the work have been done by others).
- Misusing assessment material and resources.
- The inclusion of inappropriate, offensive or obscene material in coursework assignments.
- Theft (where a candidate's work is removed or stolen), with the intention to pass the coursework off as one's own.
- The alteration of any results document, including certificates.
- A breach of the instructions or advice of a teacher in relation to the assessment rules and regulations.
- Failing to abide by the conditions of supervision designed to maintain the security of the BTEC assessments.
- Collusion: working collaboratively with other candidates, beyond what is permitted.
- Copying from another candidate, allowing work to be copied.
- The deliberate destruction of another's work.
- Disruptive behaviour during an assessment session (including the use of offensive language).
- Assisting others in the production of coursework.
- Plagiarism: unacknowledged copying from published sources; incomplete referencing.

How to deter candidate malpractice

Teachers should ensure that a large proportion of assigned work is completed with supervision.

The Programme Leader or teacher should cover the following topics with all learners during the induction period:

- Inform learners of the Centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice.
- Show learners the appropriate formats to record cited texts and other materials or information sources including websites.
- Refer to the BTEC Centre Handbook and Learner Handbook for policies.
- Programme Managers should also introduce procedures for assessing work in a way that reduces or identifies malpractice, e.g. plagiarism, collusion, cheating, etc.
- These procedures may include:
 - Periods of supervised sessions during which evidence for assignments/tasks/coursework is produced by the learner.
 - Altering assessment assignments/tasks/tools on a regular basis.
 - The assessor assessing work for a single assignment/task in a single session for the complete cohort of learners.
 - Using oral questions with learners to ascertain their understanding of the concepts, application, etc within their work.
- Assessors getting to know their learners' styles and abilities, etc.

Learners have a responsibility to ensure all work they hand in to be marked is their own. Any additional help or support that they have received must be reported to the assessor before the candidate signs the Authentication of Work statement.

Responding to suspected candidate malpractice

This will be reported to the Programme Manager who will inform the Quality Nominee and the Exams Officer. An investigation of the alleged malpractice will follow. Consequences will vary on the outcome of the investigation but may include the candidate's malpractice being reported to Edexcel. This may result in the candidate being withdrawn from the course and/or being prevented from taking a qualification with this board for one year.