



Policy Review Date

March 2018

EXAM POLICY

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The purpose of this exam 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.

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

This exam policy will be reviewed annually.

This exam policy will be reviewed by the deputy head, senior leadership team, exams officer and the governors.

1. Exam responsibilities

Head of centre

Overall responsibility for the school as an exam centre:

- Advises on appeals and re-marks.
- The head of centre is responsible for reporting all suspicions or actual incidents of malpractice. Refer to the JCQ document *Suspected malpractice in examinations and assessments*.

Exams officer

Manages the administration of public and internal exams and analysis of exam results:

- 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 exam boards.
- 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 are completed on time and in accordance with 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 *Access arrangements and special considerations regulations* and *Guidance relating to candidates who are eligible for adjustments in examinations*.
- Identifies and manages exam timetable clashes.
- Accounts for income and expenditures relating to all exam costs/charges.
- Line manages the senior exams invigilator in organising the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams.
- Prepares and presents reports to the SLT showing results achieved in relation to expected grades and comparable data for previous years, indicating where future procedural improvements might be made.
- Submits candidates' coursework/controlled assessment marks, tracks despatch and stores returned coursework/controlled assessment 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.

Deputy head

- Organisation of teaching and learning.
- External validation of courses followed at key stage 4 / post-16.

Heads of department

- Guidance and pastoral oversight of candidates who are unsure about exam 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 exams officer.

Head of careers

- Guidance and careers information.

Teachers

- Notification of access arrangements (as soon as possible after the start of the course).
- Submission of candidate names to heads of department.

SENDCO

- Administration of access arrangements.
- Identification and testing of candidates' requirements for access arrangements.
- Provision of additional support — with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment — to help candidates achieve their course aims.

Lead invigilator/invigilators

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

Candidates

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

Administrative staff

- Support for the input of data.
- Posting of exam papers.

2. The statutory tests and qualifications offered

The statutory tests and qualifications offered at this centre are decided by the head of centre, deputy heads, heads of department, head of sixth form and the senior leadership team.

The statutory tests and qualifications offered are GCSEs, A levels, Key skills, VRQs, GNVQs and Btecs Cambridge Nationals and NVQs.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there has been a change of syllabus from the previous year, the exams office must be informed by September the following academic year and annually thereafter.

At key stage 4

All candidates will be entitled, and enabled, to achieve an entry for qualifications from an external awarding body.

At post-16

It is expected that AS modules will be completed during year 12, where applicable.

3. Exam seasons and timetables

3.1 Exam seasons

Internal exams are scheduled as per the school calendar.

External exams are scheduled in November, January, March, April, May and June.

All internal exams are held under external exam conditions for Years 10, 11 and post 16.

Which exam series are used in the centre is decided by the head of centre, deputy head, head of sixth form, heads of department and the senior leadership team.

3.2 Timetables

The exams officer will circulate the exam timetables for both external and internal exams once these are confirmed.

4. Entries, entry details, late entries and retakes

4.1 Entries

Candidates are selected for their exam entries by the head of sixth form, heads of department and the headteacher and Senior Leadership Team.

A candidate or parent/carer can request a subject entry, change of level or withdrawal, within reason.

The centre does accept entries from external candidates.

4.2 Late entries

Entry deadlines are circulated to heads of department via noticeboard, email and individual memo's.

Late entries are authorised by exams officer and deputy head.

4.3 Retakes

Retake decisions will be made in consultation with the candidates, subject teachers, head of post-16, deputy head and the heads of department.

(See also section 5: Exam fees)

4.1 Identify and Verify Candidates at the time of Exams or Assessments

Invigilators must check that all candidates sitting exams have proof of age cards placed on their desks, if a candidate has forgotten their card a folder with all their photographs for exam and assessment purposes only will be with the senior invigilator in the exam/assessment room, this will be an up to date photograph from our MIS system.

Whilst this is happening the attendance register will be completed. In addition, each desk is labelled with the candidates Name, UCI number, Subject Title, Unit code and Start time of the exam.

If a candidate wears religious clothing such as a veil, these candidates should be asked to accompany a female member of staff into a private room where identification can be made.

If the centre has any external candidates, the EO will ask them to forward to us a photograph of themselves before they sit any exams/assessments, this needs to be the same photograph/document (Passport or Driving License) that they will bring on the day of their exams/assessments, they should also bring their statement of entry which would have been produced at the Academy. Before entry is granted to the exam/assessment room these documents must be checked and a log must be kept of who has carried out this action.

Senior members of centre staff who have been authorised by the head of centre may be present at the start of examination/assessments to assist with the identification of candidates.

5. Exam fees

All initial registration and entry exam fees are paid by the centre.

Late entry or amendment fees are paid by the 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.

Reimbursement will be sought from candidates who fail to sit an exam or meet the necessary coursework/controlled assessment requirements.

This fees reimbursement policy will be communicated in writing to candidates and parents/carers at the start of KS4 and post-16

courses.

Retake fees for first and any subsequent retakes are paid by the candidates.
(See also section 4.3: Retakes)

Candidates must pay the fee for an enquiry about a result, should the centre not uphold the enquiry and the candidate insist on pursuing the enquiry.
(See also section 11.2: Enquiries about results [EARs])

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

6.1 DDA

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

6.2 Special needs

A candidate's special needs requirements are determined by the SENDCO.

The SENDCO will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an exam, and the date of that exam. The SENDCO can then inform individual staff of any special arrangements that individual candidates may be granted during the course and in the exam.

6.3 Access arrangements

Making special arrangements for candidates to take exams is the responsibility of the exams officer.

Submitting completed access arrangement applications to the awarding bodies is the responsibility of the exams officer.

Rooming for access arrangement candidates will be arranged by the Exams Officer with the SENDCO.

Invigilation and support for access arrangement candidates will be organised by the Exams Officer with the SENDCO.

7. Estimated grades

Estimated grades

The heads of department will submit estimated grades to the exams officer when requested by the exams officer.

8. Managing invigilators and exam days

8.1 Managing invigilators

External invigilators will be used for exam supervision.
They will be used for all external and internal exams and fully trained in house.

The recruitment of invigilators is the responsibility of the exams office.

Securing the necessary Disclosure and 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.

8.2 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.

Site management is responsible for setting up the allocated rooms.

The lead invigilator will start all exams in accordance with JCQ guidelines.

Subject staff may be present at the start of the exam (if authorised by the head of centre) to assist with identification of candidates but must not advise on which questions are to be attempted.

In practical exams subject teachers should be on hand in case of any technical difficulties.

Exam papers must not be read by subject teachers or removed from the exam. Papers will be distributed to heads of department/faculty as per JCQ and Awarding Body guidance.

In the case of an erratum notice from the awarding body, the exam officer/secretary will issue advise to the candidates personally or will delegate this to another suitable person.

8.3 Emergencies

Emergencies such as fire alarms or bomb alerts the invigilator should stop the candidates from writing, collect attendance register and evacuate the examination room in silence and in line with the Academy's policy. Advise candidates that all question papers and scripts are to be left in the examination room.

Candidates are to remain in silence and are to be supervised in the same manner as if they were still in the examination room, invigilators must not allow any discussion about the examination.

The senior invigilator must make a note of the time the alarm was sounded and for how long the interruption lasted. Once back in the examination room allow students to have the full working time set for the examination.

There must be a full report made after the incident noting action taken, this must be forwarded to the relevant awarding body.

9. Candidates, clash candidates and special consideration

9.1 Candidates

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

Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.

Disruptive candidates are dealt with in accordance with JCQ guidelines.

Candidates may leave the exam room for a genuine purpose requiring an immediate return to the exam room, in which case a member of staff must accompany them.

9.2 Clash candidates

The exams officer will be responsible as necessary for identifying escorts, identifying a secure venue and arranging overnight stays.

9.3 Special consideration

Should a candidate be too ill to sit an exam, suffer bereavement or other trauma or be taken ill during the exam itself, it is the candidate's responsibility to alert the centre, or the exam invigilator, to that effect.

Any special consideration claim must be supported by appropriate evidence within five days of the exam, for example a letter from the candidate's doctor.

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

10. Coursework and appeals against internal assessments

10.1 Coursework/Controlled Assessment

Candidates who have to prepare portfolios should do so by the end of the course or centre-defined date.

Heads of department will ensure all coursework/controlled assessment is ready for dispatch at the correct time and the exams officer will keep a record of what has been sent when and to whom.

Marks for all internally assessed work are provided to the exams office by the subject teachers and the heads of department.

10.2 Appeals against internal assessments

The centre is obliged to publish a separate procedure on this subject, which is available from the exams 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/controlled assessment has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification.
- Appeals should be made in writing by 30 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 exams officer and recorded for awarding body inspection.
- For students who are studying BCS courses please see additional appeals procedure specific to this awarding body. [See Appendix1]

10.3 Right to Appeal

Appeals procedure against internally assessed marks

Ormiston Sandwell Community Academy is committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the regulations and 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.

OSCA *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 to be submitted to the awarding body

- 1. Appeals should be made as early as possible in order to ensure that the internal appeals process is completed prior to the submission of centre marks to the awarding body.*
- 2. Appeals must be made in writing (using the **internal appeals form**)*
- 3. The head of centre will appoint a senior member of staff, e.g. an Assistant Headteacher or a Deputy Headteacher, 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 the 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 head of centre 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 may lead to mark changes. This process is outside the control of **OSCA** and is not covered by this procedure.*

The above template (in italics) is taken from the JCQ publication [Appeals against internally assessed marks – suggested template for centres](#) (GCSE controlled assessments, GCE coursework, GCE and GCSE non-examination assessments)

Appeals procedure against centre decisions not to support an enquiry about results

Following the issue of results awarding bodies make post-results services available. Full details of these services, internal deadlines for requesting a service and fees charged are provided by the exams officer.

The service, *enquiries about results* (EARs), may be requested by centre staff or candidates (or their parents/carers). (EAR service 3 is not available to individual candidates). If a query is raised about a particular examination result, the exams officer, teaching staff and head of centre will investigate the feasibility of requesting an enquiry at the centre's expense.

When the centre does not uphold a request from a candidate, the candidate may pay the appropriate fee, and a request will be made to the awarding body on the candidate's behalf.

If the candidate (or their parent/carer) believes there are grounds to appeal against the centre's decision not to support an enquiry, an appeal can be submitted to the centre using the **internal appeals form** at least **one week prior** to the internal deadline for submitting an EAR.

Appeals procedure following the outcome of an enquiry about results

Where the head of centre remains dissatisfied after receiving the outcome of an EAR, an appeal will be made to the awarding body, following the guidance in the JCQ publications *Post-results services* <http://www.jcq.org.uk/exams-office/post-results-services> and *A guide to the awarding bodies' appeals processes* <http://www.jcq.org.uk/exams-office/appeals>

Where the head of centre is satisfied after receiving the outcome of an EAR, but the internal candidate and/or their parent/carer is not satisfied, they may make a further representation to the head of centre. Following this, the head of centre's decision as to whether to proceed with an appeal will be based upon the centre's internal appeals arrangements. Candidates or parents/carers are not permitted to make direct representations to an awarding body.

The **internal appeals form** should be completed and submitted to the centre within **10 calendar days** of the notification of the outcome of the enquiry. Subject to the head of centre's decision, this will allow the centre to process the appeal and submit to the awarding body within the required 14 calendar days. Awarding body fees which may be charged for the appeal must be paid by the appellant on submission of the internal appeals form. If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.

Internal appeals form

This form should be completed in all cases to lodge an appeal.

Please tick to indicate what the appeal is against:

- internally assessed marks**
- the centre decision not to support an enquiry about results**
- the outcome of an enquiry about results**

of appellant		Candidate name <i>if different to appellant</i>	
Awarding body		Exam paper code	
Subject		Exam paper title	

Please state the grounds for your appeal below:

Continue overleaf if necessary

Appeal against internally assessed marks

Appellant declaration

By signing here, I am confirming I understand the purpose of the appeal will be to decide whether the process used for the internal assessment conformed to the published requirements of the awarding body's specification and subject-specific associated documents. I also understand the appeal may only be made against the assessment process not against the mark to be submitted by the centre for moderation by the awarding body.

Signature:

Date of signature:

Appeal against the centre decision not to support an enquiry about results

Appellant declaration

By signing here, I am confirming I feel there are grounds to appeal against the centre's decision.

Signature:

Date of signature:

Appeal against the outcome of an enquiry about results

Appellant declaration

By signing here, I am confirming I understand that the grounds for my appeal must relate to the awarding body's procedures or the application of the post-result service procedures. I also understand that appeals do not generally involve further reviews of marking candidates' work. I also confirm that I will pay in advance any fees which may be charged by the awarding body for the appeal. I understand this fee will be refunded if the appeal is upheld.

Signature:

Date of signature:

The appellant declaration against the relevant appeal must be signed, dated and returned to the EO, on behalf of the head of centre, to the timescale indicated in the internal appeals procedure.

The internal appeals procedures for this centre have been produced to demonstrate compliance with the publications below.

JCQ General Regulations for approved centres <http://www.jcq.org.uk/exams-office/general-regulations>

Controlled Assessments, Coursework and Portfolios of Evidence

5.8 The centre agrees to

have in place, and be available for inspection purposes, a **written** internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates; (A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)

Post-Results Services and Appeals

5.14 The centre agrees to

have available for inspection purposes and draw to the attention of candidates and their parents/carers, a **written** internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal; (A centre may place its internal appeals procedure on the school/college website or alternatively the document may be made available to candidates upon request.)

JCQ Post-results services <http://www.jcq.org.uk/exams-office/post-results-services>

6.4 Submission of requests

Centres **must** have in place a published formal appeals procedure for use in cases where centres and candidates, or their parents/carers, cannot agree as to whether an enquiry about results should be submitted. The formal appeals procedure **must** be made widely available. Centres **must** therefore draw the appeals procedure to the attention of candidates and their parents/carers. In deciding whether to support an enquiry about results, centres should take account of all relevant factors and afford candidates or their parents/carers a reasonable opportunity to express their views. **Awarding bodies can only enter into discussions over enquiries about results with centres and private candidates.**

7. Appeals

Centres **must** have in place a published formal appeals procedure for use in cases where centres and candidates, or their parents/carers, cannot agree as to whether an appeal should be submitted to the relevant awarding body. The formal appeals procedure **must** be made widely available. Centres **must** therefore draw the appeals procedure to the attention of candidates and their parents/carers. In deciding whether to support an appeal, centres should take account of all relevant factors and afford candidates or their parents/carers a reasonable opportunity to express their views. **Awarding bodies can only enter into discussions over appeals with centres and private candidates.**

However in summer 2016, JCQ issued the following information in their [*Notice to Centres – Post-Results Services and Appeals*](#)

The JCQ publication Post-Results Services – Information and guidance to centres for examinations taken in June 2016 and November 2016 sets out common arrangements. Although the published information remains valid for the June 2016 examination series, this supplementary document clarifies some key points associated with the reform of post-results services and appeals.

Centres should also refer to awarding bodies' websites for further information as awarding bodies may offer additional post-results services.

JCQ A guide to the awarding bodies' appeals processes <http://www.jcq.org.uk/exams-office/appeals>

12. Please note that internal candidates and/or their parents/carers are not entitled to appeal directly to the awarding body. Representations must be made to the head of centre where the candidate was entered or registered. The head of centre's decision as to whether to proceed with an appeal is subject to the centre's internal appeals arrangements.

Ofqual GCSE, GCE, Principal Learning and Project Code of Practice

<https://www.gov.uk/government/publications/gcse-gce-principal-learning-and-project-code-of-practice>

9.13 The awarding organisation must require centres offering its examinations to ensure that they have in place:

iii.a formal, codified procedure for handling disputes when a candidate or carer disagrees with a decision by the centre not to support an enquiry.

Centres must be required to ensure that the procedures are published and made widely available and accessible to all candidates and their carers.

9.14 In deciding whether to support an enquiry or appeal, centres should take account of all relevant factors and afford candidates or their carers a reasonable opportunity to express their views.

However in summer 2016, JCQ issued the following information in the [*Notice to Centres – Post-Results Services and Appeals*](#)

Ofqual has announced that the Code of Practice in relation to GCE AS, A-level and GCSE qualifications will be withdrawn in August 2016, being replaced by Qualification Level Conditions. Centres may, however, continue to refer to the Code of Practice for the awarding bodies' provision of post-results services and appeals, June 2016 examination series.

Arrangements for the awarding bodies' provision of post-results services and appeals, November 2016 examination series, may be subject to change. Centres will be notified of any changes in due course.

Appellants should consult the full information in the above publications to be fully informed when stating their grounds for appeal.

Further information can be obtained from:

Appeal an exam result <https://www.gov.uk/appeal-exam-result>

The Appeals Process <http://www.jcq.org.uk/examination-system/the-appeals-process>

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

11.1 Results

Candidates will receive individual results slips on results days in person at the centre / by post to their home addresses (candidates to provide sae).

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 head of centre.

The centre aggregates at the end of year 13 for AS grades, not at the end of year 12.

11.2 EARs

EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.

When the centre does not uphold 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.

(See section 5: Exam fees)

11.3 ATS

After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results.

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.

Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.

GCSE re-marks cannot be applied for once a script has been returned.

12. Certificates

Certificates are presented in person and collected and signed for.

Certificates may not be collected on behalf of a candidate by a third party, without clear written consent from the candidate.

Certificates are not withheld from candidates who owe fees.
The centre retains certificates for one year.

13. Controlled Assessment Guidelines

Senior leadership team and Exams Officer

- 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.)
- Ensure that all staff involved have a calendar of events
- Create, publish and update an internal appeals policy for controlled assessments.

Heads of department/faculty

- 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 exam series in which the qualification is certificated, 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 contextualize 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 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.
- 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 exams office to the awarding body when required, keeping a record of the marks awarded.

- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the appropriate special educational needs disability coordinator (SENDSCO) for any assistance required for the administration and management of access arrangements.

Exams officer

- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- 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 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, at the direction of the senior leadership team.

Special educational needs disability coordinator/additional learning support

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

Outlining staff responsibilities - Diploma principal learning controlled assessment

Senior leadership team, consortium management and lead assessor

- Accountable for the safe and secure conduct of controlled assessment, and ensure that it complies with both the JCQ general guidelines and awarding body instructions.
- Ensure procedures are in place to cover requirements for summative assessment – and that these are communicated to all relevant consortium staff.
- Map overall requirements for the year. Resolve any clashes/problems arising over the timing or operation of controlled assessments. Also any 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.

Domain assessors, line of learning leads, teaching staff and assessors

- Domain assessors and line of learning leads should decide on awarding body and specifications. (*In some cases this might be the responsibility of the consortium lead assessor depending on local circumstances*).
- Domain assessors must ensure that assessors understand controlled assessment requirements.
- Domain assessors and/or line of learning leads are responsible for ensuring that assessment tasks meet the requirements of the awarding body specifications, and for applying the relevant control requirements. (For example, by internally checking and approving assessments written by teaching staff and/or assessors, or ensuring they have been approved by the awarding body).
- 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 line of learning, level and unit specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the exams office details of all unit codes for controlled assessments.

- Where appropriate, obtain confidential materials/tasks set by the awarding bodies from the relevant exams office in sufficient time to make preparation for assessments.
- Develop new assessment tasks or contextualise sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.
- Follow the requirements for supervision as set out in the awarding body specification at the specified level of control, only permitting assistance to students as the specification allows.
- Domain assessors need to work with assessors to standardise the marking of internally assessed units for each line of learning.
- Where an assessor will not be supervising the controlled assessment, he or she **must** arrange for a suitable person to do so, in line with the awarding body specification.
- Ensure that learners and assessors sign authentication forms on completion of an assessment.
- Mark assessments according to the mark schemes and guidance provided by the awarding bodies. Submit the marks through the relevant exams office to awarding bodies when required, keeping a record of the marks awarded.
- Retain learners work securely between assessment sessions (if more than one).
- Post-completion, retain learners' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain learners' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre
- Ask the home centre special educational needs coordinator/additional learning support for any assistance required for the administration and management of access arrangements.

Exams office staff

(Please note this could refer to the exams office of an individual school or college, or to a centralised exams office that covers all controlled assessment within a consortium depending on local circumstances.)

- Enter learners for all units, whether assessed by controlled assessment internally, or externally assessed, before the awarding body deadline.

- 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 mark sheets for the use of teaching staff, and collect/send them to awarding bodies before deadlines.

Special educational needs disability coordinator/additional learning support

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

14. Controlled Assessment Risk Management Process

Example risks and issues	Possible remedial action		Staff : Responsible-R Accountable-A Consulted-C Informed-I VP= Vice Principal EO= Exams Officer DM=Data Manager N= Network Manager GM= Guidance Manager CL= Curriculum Lead T=Teachers
	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	VP=A DM=R EO=I
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	VP=A DM=I EO=R
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	VP=A EO=R
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		VP=A EO=R
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	EO=R NM=C
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	EO=R NM=C
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	EO=R NM=C

Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		EO=R GM=C
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	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 N.B. retakes of controlled assessment are limited	EO=R
Example risks and issues	Possible remedial action		Staff (<i>use 'RACI' to determine who should be listed</i>)
	Forward planning	Action	
Control levels for task taking			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	VP= A EO= R
Supervision			
Student study diary/plan not provided or completed*	Ensure teaching staff/assessors 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	CL= A
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		CL= A EO= R
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.		EO= A

* Not all controlled assessment whether for the Diploma or GCSEs will require the completion of a study diary or study plans

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
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	CL=A
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	CL= A
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	CL= A EO= R
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	CL= A EO= R
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	CL= A EO= R

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

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
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.	CL= A T= R
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 exams office can process and send off marks ahead of AB deadlines	Seek guidance from awarding body	CL= A
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	CL= A T= R
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	CL= A

Example risks and issues	Possible remedial action		Staff (<i>use 'RACI' to determine who should be listed</i>)
	Forward planning	Action	
Marking			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding body specification for appropriate procedure	CL= A T= R
Centre does not run standardisation activity as required by the awarding body	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardisation event can be arranged.	CL= A T= R

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Head of Centre _____ Ms Marie McMahon _____

Examination Officer _____ Mrs Tracey Cannell _____

Date _____ 29/3/2017 _____

The policy is next due for review on 29th March 2018 and annually thereafter.

BCS Qualification Appeals Procedure

For Automated Assessment the BCS requirements are:

- Learners who are unhappy with any aspect of the assessment process should first discuss the problem with their Centre Representative or the Centre Manager or representative within 5 working days of receiving their result
- The Learner must make the reasons clear at this time
- Assessments are undertaken using automated testing software which has been approved by the ECDL Foundation. In the event of a Learner raising a complaint the assessment report that will have been produced by the system will be fully discussed with the Learner
- An action plan will be agreed and a further assessment date scheduled. In some circumstances the Learner may be offered a free re-test (e.g. if there had been hardware or software problems)
- If the Learner is unhappy with the decision of the Centre Manager the Learner must write to the Mr David Dumbell within 5 working days who will fully review the complaint and attempt to find a solution
- The Centre will keep a written record of each stage of the process with dates and outcomes
- If a Learner is not able to resolve an appeal at the approved centre then he/she has the right to appeal to BCS. This may be done via the Centre Manager or direct to the BCS Quality Team in writing. Learner appeals must be made to BCS within 90 days of the date of the assessment together with the appeal fee. This fee will be refunded if the Learner's result improves following the appeal. The address will be supplied on request.
- BCS will acknowledge receipt of the appeal and advise the Learner or centre of the timescale for a decision.
- The BCS Representative will investigate the circumstances of the appeal and make a report to the appeals panel. In very exceptional cases, the appeals panel may request the Centre Manager possibly accompanied by the Learner, to attend a meeting of the panel to provide further explanation of the circumstances of the appeal
- Appeals panel decisions will be given in writing to the Centre Manager and the Learner and are final
- For Evidence Based Assessment the BCS requirements are:
- During any stage of the Appeals Procedure the Learner is entitled to be represented or accompanied, should they wish.
- All Learners who are being assessed by an Approved Centre Assessor have the right to appeal if they disagree with an assessment decision. In the event of a dispute the following stages should be followed:

Stage 1

The Learner should appeal in writing to the Assessor clearly stating their reasons for disagreement and the evidence in the portfolio which the Learner believes meets the competence requirements of the knowledge and understanding and skills and techniques. The Assessor will meet with the Learner within 10 working days and go through the assessment process, clearly explaining the outcome. The Assessor will confirm the outcome in writing to the Learner.

Stage 2

Learners who are not satisfied with the outcome from Stage 1 may then appeal in writing to the Internal Verifier. The Internal Verifier will meet with the Learner and the Assessor within 10 working days and will confirm the outcome in writing to the Learner.

Stage 3

Learners who are not satisfied with the outcome after Stage 2 and have exhausted all of the internal appeals procedures may then appeal in writing to BCS (the Awarding Body). At this point the Awarding Body's Appeals Procedure will be followed. Centre will be requested to provide reports from Stages 1 and 2.

Learner appeals must be made to BCS within 90 days of the date of the assessment together with the appeal fee. This fee will be refunded if the Learner's result improves following the appeal.

BCS will acknowledge receipt of the appeal and advise the Learner or Centre of the timescale for a decision.

The BCS Representative will investigate the circumstances of the appeal and make a report to the appeals panel. In very exceptional cases, the appeals panel may request the Centre Manager, possibly accompanied by the Learner, to attend a meeting of the panel to provide further explanation of the circumstances of the appeal. Appeals panel decisions will be given in writing to the Centre Manager and the Learner and are final.

If the decision affects other results, appropriate steps will be taken to protect the interests of all Learners and the integrity of the qualification.