



**St Cuthbert's
Catholic High School**

Live life in all its fullness

Exams Policy

2021-2022

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The policy is next due for review in July 2022

The purpose of this exams policy is:

- to ensure the planning and management of exams is conducted efficiently and in the best interests of candidates;
- to ensure the operation of an efficient exams 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.

- The exams policy will be reviewed every *two years*.
- The exams policy will be reviewed by the Headteacher, Deputy Headteacher, Exams Officer
- Where references are made to JCQ regulations/guidelines, further details can be found at www.jcq.org.uk.

Exam responsibilities

The Head of centre:

- has overall responsibility for the school/college as an exams centre and advises on appeals and re-marks.
- is responsible for reporting all suspected or actual incidents of malpractice - refer to the JCQ document *Suspected malpractice in examinations and assessments*.

Exams Officer:

- manages the administration of internal exams and external exams
- advises the senior leadership team, subject and class tutors, and other relevant support staff on annual exams timetables and procedures as set by the various awarding bodies.
- oversees the production and distribution, to all centre staff 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 exams timetable that will affect them.
- checks with teaching staff that the necessary coursework and/or controlled assessments are completed on time and in accordance with JCQ guidelines.
- provides and confirms detailed data on estimated entries.
- maintains systems and processes to support the timely entry of candidates for their exams.
- receives, checks and stores securely all exam papers and completed scripts and ensures that scripts are dispatched as per the guidelines.
- administers access arrangements and makes applications for special consideration following the regulations in the JCQ publication *A guide to the special consideration process*.
- identifies and manages exam timetable clashes.
- accounts for income and expenditures relating to all exam costs/charges.
- line manages and organises the recruitment, training, and monitoring of a team of exams invigilators responsible for the conduct of exams.
- ensures candidates' coursework / controlled assessment marks are submitted, and any other material required by the appropriate awarding bodies correctly and on schedule.
- tracks, dispatches, and stores returned coursework / controlled assessments.
- arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any post results service requests.

Curriculum Leaders:

- guidance and pastoral oversight of candidates who are unsure about exams entries or amendments to entries.

- accurate completion of entry and all other mark sheets and adherence to deadlines as set by the exams officer.
- accurate completion of coursework / controlled assessment mark sheets and declaration sheets.
- decisions on post-results procedures.

Teachers:

- supplying information on entries, coursework and controlled assessments as required by the Curriculum Leader and/or exams officer.

Special educational needs coordinator (SENCo):

- identification and testing of candidates' requirements for access arrangements and notifying the exams officer in good time so that they are able to put in place exam day arrangements
- processing any necessary applications in order to gain approval (if required).
- working with the exams officer to provide the access arrangements required by candidates in exams rooms.

Invigilators:

- assisting the exams officer in the efficient running of exams according to JCQ regulations.
- Setting up the exam rooms to JCQ requirements
- 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 ensuring 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 as their own.
- ensuring they conduct themselves in all exams according to the JCQ regulations.

Qualifications offered

The qualifications offered at this centre are decided by the Headteacher and Deputy Headteacher. The types of qualifications offered are GCSE, BTEC and other vocational qualifications.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus or similar documents for that year. If there is to be a change of specification for the next year, the exams office must be informed by the end of the current academic working year.

Informing the exams office of changes to a specification is the responsibility of the Curriculum Leaders.

Decisions on whether a candidate should be entered for a particular subject will be taken by Deputy Headteacher in consultation with the Curriculum Leader.

Exam series

Internal exams (mock or trial exams) and assessments are scheduled in Summer exam series.

External exams and assessments are scheduled in Summer exam series.

Internal exams are held under external exam conditions.

The Deputy Headteacher decides which exam series are used in the centre.

The centre does offer some assessments on an on-demand basis. If offered, on-demand assessments can be scheduled only in windows agreed between the Deputy Headteacher and the Curriculum Leader.

Exam timetables

Once confirmed, the exams officer will circulate the exam timetables for internal and/or external exams at a specified date before each series begins.

Entries, entry details and late entries

Candidates or parents/carers cannot request a subject entry, change of level or withdrawal.

The centre accepts entries from private candidates.

The centre does not act as an exams centre for other organisations.

Entry deadlines are circulated to Curriculum Leaders via email, noticeboard, briefing meetings, internal post/pigeon hole.

Curriculum Leaders will provide estimated entry information to the exams officer to meet JCQ and awarding body deadlines.

Entries and amendments made after an awarding organisation's deadline (i.e. late) require the authorisation, in writing, of Deputy Headteacher

Re-sit decisions will be made by Deputy Headteacher *in* consultation with Curriculum Leader.

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.

The exams officer will publish the deadline for actions well in advance for each exams series.

GCSE entry exam fees are paid by the centre

Late entry or amendment fees are paid by the centre/department.

Fee reimbursements *are* sought from candidates:

- if they fail to sit an exam

Re-sit fees are paid by the centre.

Equality Legislation

All exam centre staff must ensure that they meet the requirements of any equality legislation.

The centre will comply with the legislation, including making reasonable adjustments to the service that that they provide to candidates in accordance with requirements defined by the legislation, awarding bodies, and JCQ. This is the responsibility of the Headteacher.

Access arrangements

The SENCo will inform subject teachers of candidates with special educational needs and any special arrangements that individual candidates will need during the course and in any assessments/exams.

A candidate's access arrangements requirement is determined by the SENCo

Ensuring there is appropriate evidence for a candidate's access arrangement is the responsibility of SENCo/subject teachers.

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

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

Invigilation and support for access arrangement candidates, as defined in the JCQ access arrangements regulations, will be organised by the SENCo/Exams Officer.

Contingency planning

Contingency planning for exams administration is the responsibility of the Exams Officer/Deputy Headteacher.

Contingency plans are available via **the shared computer drive** and are in line with the guidance provided by Ofqual, JCQ and awarding organisations.

Managing invigilators

External staff will be used to invigilate examinations.

These invigilators will be used for internal exams and/or external exams

Recruitment of invigilators is the responsibility of the Deputy Headteacher/Exams Officer.

Securing the necessary Disclosure Barring Service (DBS) clearance for new invigilators is the responsibility of the School Business Manager.

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

Invigilators' rates of pay are set by the Local Authority.

Invigilators are recruited, timetabled, trained, and briefed by the Deputy Headteacher/Exams Officer.

Malpractice

The head of centre in consultation with Deputy Headteacher/Exams Officer is responsible for investigating suspected malpractice.

In order to prevent plagiarism we will:

- a) ensure that each candidate is made aware of the appropriate JQC Notice to Candidates (<https://www.icq.org.uk/exams-office/information-for-candidates-documents>)
- b) ensure that each candidate understands the contents of the notice; particularly the meaning of plagiarism and what penalties may be applied;

- c) reinforce to a candidate the significance of their signature on the form which states they have understood and followed the requirements for the subject;
- d) make clear what is and what is not acceptable in respect of plagiarism and the use of sources, including the use of websites. It is unacceptable to simply state Internet, just as it would be unacceptable to state Library rather than the title of the book, name of the author, the chapter and page reference. It is similarly unacceptable to list search engines such as Google; candidates must provide details of any web pages from which they are quoting or paraphrasing. Some suggestions on acceptable forms of referencing can be found at the end of this section.
- e) Teach the conventions of using footnotes and bibliographies to acknowledge sources. There is no one standard way of acknowledging sources but the use of inverted commas, indented quotations, acknowledgement of the author, line/page number, title of source, indicate that the candidate is using a source. Teachers and candidates should be aware that when acknowledging sources clarity ensures that there is no suspicion of plagiarism.
- f) teach the use of quotation marks when sources are quoted directly (a suggested guideline for the need to put items in quotation marks would be the use of more than six words in unchanged form);
- g) set reasonable deadlines for submission of work and provide reminders;
- h) where appropriate, give time for sufficient work to be done in class under direct supervision to allow the teacher to authenticate each candidate's whole work with confidence;
- i) examine intermediate stages in the production of work in order to ensure that the work is underway in a planned and timely manner;
- j) introduce classroom activities that use the level of knowledge/understanding achieved during the coursework thereby making the teacher confident that the candidate understands the material;
- k) possibly ask candidates to make a short verbal presentation to the rest of the group on their work;
- l) explain the importance of the candidate producing work which is their own and stress to them and to their parents/carers the penalties of malpractice;
- m) take care to ensure that work undertaken in previous years' examinations by other candidates is not submitted as their own by candidates for the current examination. The safe keeping of such earlier work is of great importance, and its issue to candidates for reference purposes should be carefully monitored;
- n) not accept, without further investigation, work which we suspect has been plagiarised; to do so encourages the spread of this practice.

Guidance on Referencing

A useful guide to referencing can be found online at:

https://weblearn.ox.ac.uk/access/content/group/cd464c28-e981-4dcc-af89-945b50a3ef48/Referencing%20and%20plagiarism/SHU_Guide_to_referencing%20NEW%20TO%20USE.pdf

- a) A reference in the text, or as a footnote, should show at least the name of the author, the year of publication and the page number: For example: (Goldsworthy, 2010, pg.29.)
- b) Candidates must also include a bibliography at the end of their work, which lists details of publications that have been used to research their project. For example: Goldsworthy, A. (2010) "Anthony and Cleopatra", London: Weidenfeld & Nicolson.
- c) For material taken from web pages, the reference must show the precise web page, not the search engine used to locate it. This can be copied from the address line. For example: (<http://www.bbc.co.uk/schools/16/sosteacher/history/49766.shtml>)
- d) For individual works found on the internet, the reference should show the details as in (b), above, plus the URL and the date accessed. For example: Airey, C. (2004). The State of Play Today [Online] 6th Edition. Available: <http://classics.mit.edu/Plato/republic.html> [20th September 2011].

List of websites offering help to candidates with their nonexamination assessment: www.a-level-coursework.co.uk www.courseworkbank.co.uk www.courseworkhelp.co.uk www.coursework.info www.essaybank.co.uk www.freestudentstuff.co.uk www.maths-help.co.uk www.projectgcse.co.uk www.revision-notes.co.uk www.sci-journal.org.uk www.studentcentral.co.uk www.studyzones.com www.topcourseworksites.co.uk www.uk-learning.net www.essaysdone4u.com

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 staff is responsible for setting up the allocated rooms, and will be advised of requirements as soon as the seating plans are finalised.

The Lead Invigilator will start and finish all exams in accordance with JCQ guidelines.

Any staff present must be in accordance with the rules defined by JCQ concerning who is allowed in the exam room and what they can do.

In practical exams, subject teachers' availability will be in accordance with JCQ guidelines.

Exam papers will be opened by the Exams Officer and one other member of centre staff and the time, date, subject and code will be checked before opening.

Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to heads of department in accordance with JCQ's recommendations and no later than 24 hours after candidates have completed them.

After an exam, the exams officer will arrange for the safe dispatch of completed examination scripts to awarding bodies, working in conjunction with Curriculum Leader.

Identification of candidates

In the Sports Hall Senior members of centre staff who have been authorised by the Head of Centre may be present at the start of the examination to assist with the identification of candidates. This will include the Head of Year, Assistant Head of Year and Attendance Officer. In all rooms a seating plan and attendance register will be in place outside and inside the examinations room. In smaller exam rooms there will be ID cards with name and candidate number placed on individual candidates' desk and a seating plan with candidate photographs will be supplied to the invigilators to identify candidates.

Candidates

The exams officer will provide written information to candidates in advance of each exam series. A formal briefing session for candidates may be given by the Deputy Headteacher.

The centre's published rules on acceptable dress and behaviour apply at all times. Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.

In an exam room candidates must not have access to items other than those clearly allowed in the instructions on the question paper, the stationery list, or the specification for that subject. This is particularly true of mobile phones and other electronic communication or storage devices with text or digital facilities. Any precluded items must not be taken into an exam room.

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 Lead Invigilator.

Note: candidates who leave an exam room must be accompanied by an appropriate member of staff at all times.

The Exams Officer/Deputy Headteacher/Attendance Officer is responsible for handling late or absent candidates on exam day.

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 unable to attend an exam because of illness, suffer bereavement or other trauma, be ill or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre's *Exams Officer* to that effect.

The candidate must support any special consideration claim with appropriate evidence as soon as possible after the end of the exam.

The exams officer will make a special consideration application to the relevant awarding body by the deadline issued by the awarding body.

Controlled assessment

It is the duty of heads of department to ensure that all internal assessment is ready for dispatch at the correct time. The exams officer will assist by keeping a record of each dispatch, including the recipient details and the date and time sent.

Marks for all internally assessed work are provided to the exams office by the *Curriculum Leaders*. The exams officer will inform staff of the date when appeals against internal assessments must be made by. Any appeals will be dealt with in accordance with the centre's Appeals against Internal Assessments in External Qualifications procedure (**see Appendix A**).

Results

Candidates will receive individual results slips on results days,

- *in person at the centre*

The results slip will be in the form of a centre produced document. Arrangements for the centre to be open on results days are made by the Deputy Headteacher/Exams Officer.

The provision of the necessary staff on results days is the responsibility of the Deputy Headteacher/Exams Officer.

Enquiries about Results (EAR)

EARs may be requested by centre staff or the candidate following the release of results. A request for a re-mark or clerical check requires the written consent of the candidate, a request for a re-moderation of internally assessed work may be submitted without the consent of the group of candidates.

The cost of EARs will be paid by the centre if requested by the centre.

All decisions on whether to make an application for an EAR will be made by *the* Deputy Headteacher.

If a candidate's request for an EAR is not supported, the candidate may appeal in writing to the Deputy Headteacher by the first day of the next academic year.

All processing of EARs will be the responsibility of the Exams Officer following the JCQ guidance.

Access to Scripts (ATS)

After the release of results, candidates may ask subject staff to request the return of written exam papers within the examining body's timescale after receipt of results.

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

An EAR cannot be applied for once an original script has been returned. The cost of EARs will be paid by the student. Processing of requests for ATS will be the responsibility of Exams Officer.

Certificates

Candidates will receive their certificates

- in person at the centre - collected and signed for.

Certificates can be collected on behalf of a candidate by third parties, provided they have written authority from the candidate to do so, and bring suitable identification with them that confirms who they are.

The centre retains certificates for 3 years.

A new certificate will not be issued by an awarding organisation. A transcript of results may be issued if a candidate agrees to pay the costs incurred.

Head of centre

Exams officer

.....

.....

Date

.....

APPENDIX A

APPEALS AGAINST INTERNAL ASSESSMENTS IN EXTERNAL QUALIFICATIONS

St Cuthbert's Catholic High School is committed to ensuring that whenever its staff assesses the work of candidates for external qualifications this is done fairly, consistently and in accordance with the specification of the qualifications concerned. Staff who have appropriate knowledge, understanding and skills and who have been trained in this activity will conduct assessments. The work of candidates must be produced and will be authenticated according to the requirements of the awarding body. When assessment of a piece of work is divided among several staff, consistency will be maintained by internal moderation and standardisation.

If a candidate feels that these procedures have not been carried out in relation to his or her work he or she should first discuss the matter with the Subject Leader. If the problem cannot be resolved in this way, the candidate may use the formal appeal procedure described below.

The Appeals Procedure

Stage One	Discuss all your concerns with your teacher (see Note 1)
Stage Two	If you remain concerned after Stage One, write to the Deputy Headteacher (see Note 2)
Stage Three	The Headteacher will arrange a School Review (see Note 3)
Stage Four	If you remain concerned after Stage Three you may write to the Headteacher asking for an Academic Board Appeal (see Note 4).

This concludes the Academic Appeals Procedure

Note 1

Stage One is very important and you are encouraged to talk through any concerns with your teacher. Please also make sure that at this stage you let your teacher know of any personal circumstances that need to be taken into account.

Note 2

Stage Two requires you to write to the Deputy Headteacher within 7 days of discussion/review. You should include in your letter:

- Information to help us identify your concerns

Send you letter to: St Cuthbert's Catholic High School, Berrys Lane, St Helens, Merseyside WA9 3HE

Within 5 days the Deputy Headteacher will acknowledge your letter and give a copy to the Headteacher.

Note 3

Stage Three is the School Review and the Headteacher will arrange, within 10 days, for your teacher to meet with the Internal Moderator and Curriculum Leader to discuss your concerns and to review the procedure. Immediately after the review the Headteacher will write to you to inform you of the decision.

Note 4

Stage Four is an appeal to the Academic Board. The grounds for appeal are:

- Irregularities in the School Appeal process
- Irregularities in the School procedure for assessing candidate evidence
- The procedures for processing candidate results

Please write to the Headteacher within 10 days of receiving the School Review decision. State clearly your concerns.

Send your letter to Mrs C Twist, Headteacher, St Cuthbert's Catholic High School, Berrys Lane, Sutton, St Helens, Merseyside, WA9 3HE.

The Appeals Sub-group of the Academic Board will not include any members of staff involved in the earlier stages of the Appeal although those staff may attend the meeting. You can also attend and explain your concern directly to the Appeals Sub-group and/or you may submit additional information. You can be accompanied at the meeting by an appropriate person e.g. Parent/Carer.

Immediately after the meeting the Headteacher's PA will write informing you of the final decision.

APPENDIX B

CONTROLLED ASSESSMENT POLICY

Key features:

- Enables a more integrated approach to teaching and learning and assessment
- Provides an increased facility to ensure that work is the students own
- Enables teachers to choose the timing of the controlled assessment
- Enables teachers to select from a choice of tasks and contextualise them
- Is viewed as part of the course, rather than a separate activity, as it is an integral part of teaching and learning
- Usually takes place in the classroom, within the normal timetable
- Features levels of control designed to maximise reliability and authenticity

Process of Controlled Assessment:

The process has 3 stages:

- i. Task Setting
- ii. Task Taking
- iii. Task Marking

Each stage has a level of control (or supervision) –*high, medium or low*

Task Setting:

Tasks are set either by the awarding body (High control) or by the Centre (Medium Control) and in both cases, must be developed according to the requirements of the specification.

Task Taking:

This is how students carry out the tasks and the conditions under which assessment takes place.

Three levels of control apply:

1. Low control – students can work unsupervised outside the classroom. This is normally the research stage.
2. Medium control – students can work under informal supervision. This is normally the analysis stage.
3. High Control: Students complete their task under direct supervision throughout. This is the write up stage. No guidance is allowed.

Each student should have a research diary/folder where they record the guidance and feedback received from their teacher. The diary is also record of the research and planning stage containing notes, diagrams, essay plans and a bibliography. Students are allowed access to their diary during the High Control write-up stage.

Task Marking

Task Marking has either a High or Medium Control level. High control means that the awarding body marks the tasks. Medium control is where work is assessed by the teacher and externally moderated by the awarding body in the same way as coursework. In this case, St. Cuthbert's must standardise marking to ensure that all candidates have been marked to the same standard, in line with specification requirements.

Responsibility of staff in the implementation of the Controlled Assessment Policy

Senior Leadership Team:

- 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 adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body's specification and control requirements.

Curriculum Leaders:

- It is the responsibility of each Curriculum Leader to decide on the exam board and specification and obtain the controlled assessment task details from the relevant exam boards.
- 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 adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body's specification and control requirements.
-
- The Curriculum Leader should choose the most appropriate time for the controlled assessment to take place.

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.
- 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 candidates as the specification allows.
- Ensure that candidates and supervising teachers sign authentication forms on completion of an assessment.
- 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).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the appropriate special educational needs coordinator (SENCo) for any assistance required for the administration and management of access arrangements.

- The Controlled Assessment should take place during timetabled class time where possible.
- Subject Areas must plan when and how the assessment will take place, taking into account the accommodation and resources required. The Exams Officer should be notified when high level controlled assessment is taking place.
Relevant display materials must be removed or covered up.
- All staff must be aware of the relevant level of control permitted (high, medium or low) as this will determine the level of permitted supervision e.g. high control means that students are under exam conditions.
- Each student is to keep a research diary where they note the guidance and feedback received from their teacher. The diary should also contain a record of the research and planning stage containing notes, diagrams, essay plans and bibliography.
- All assessment materials must be locked in a suitable secure cabinet at the end of each session by the subject area.
- When ICT is used, separate user accounts for exam use must be used for high control level work. These must have no access to internet or e-mail and must only be accessible during the controlled sessions. If work is saved on memory sticks these must be collected in after each session and locked away as in 8 above.
- If a student is absent, the teacher must allow that student the chance to make up the time if necessary.
- For long absences, special consideration should be applied for.
Entries for controlled assessment must be made at the appropriate time.
Attendance records from assessment sessions should be kept by the class teacher.
- Work may be handwritten in black ink or word processed. Printouts, charts and videos can be included where appropriate.
- Where the specification permits students to work with others, e.g. during collection of data, any descriptions of the joint work must be in each candidate's own words.
- If suspected malpractice occurs, the Exams Officer must be informed.
If a student's work is lost within the school, this must be reported to the exam office and in turn to the exam board.
- Authentication forms must be signed by the teachers and candidates.
Access arrangements do apply to controlled assessment the subject must arrange this with the college's assistant SENCO.

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

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 C**CONTROLLED ASSESSMENT – 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	Curriculum Leaders J Grimes Exams Officer
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates some time between them	Curriculum Leaders J Grimes Exams Officer
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	Curriculum Leaders Exams Officer
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Curriculum Leaders Exams Officer
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	Curriculum Leaders Exams Officer
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	Curriculum Leaders Exams Officer
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Curriculum Leaders Exams Officer

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Curriculum Leaders
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	Curriculum Leaders Exams Officer
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	Curriculum Leaders
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		Curriculum Leaders
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		Curriculum Leaders Exams Officer
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	Curriculum Leaders
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	Curriculum Leaders

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
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	Curriculum Leaders Exams Officer
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	Curriculum Leaders
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Curriculum Leaders Exams Officer
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	Curriculum Leaders J Grimes
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	Curriculum Leaders J Grimes Exams Officer
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	Teaching Staff
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	Curriculum Leaders J Grimes Exams Officer

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
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 re-marking Consult the awarding body's specification for appropriate procedures	Curriculum Leaders Exams Officer
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	Curriculum Leaders J Grimes

APPENDIX D

ASSESSMENT POLICY

Aim: To ensure that assessment methodology is valid, reliable and does not disadvantage or advantage any group of learners or individuals.

To ensure that the assessment procedure is open, fair and free from bias and to national standards.

To ensure that there is accurate and detailed recording of assessment decisions.

In order to do this, the centre will:

- ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment
- assess learner's evidence using only the published assessment and grading criteria
- ensure that assessment decisions are impartial, valid and reliable
- not limit or 'cap' learner achievement if work is submitted late
- develop assessment procedures that will minimise the opportunity for malpractice
- maintain accurate and detailed records of assessment decisions
- maintain a robust and rigorous internal verification procedure
- provide samples for Standards Verification as required by the awarding body
- monitor standards verification reports and undertake any remedial action required
- share good assessment practice between all BTEC programme teams
- ensure that BTEC assessment methodology and the role of the assessor are understood by all BTEC staff
- provide resources to ensure that assessment can be performed accurately and appropriately.

This policy will be reviewed every six months by the Quality Nominee and Senior Manager.

The appeals procedure will be followed.

Links:

BTEC Programme Specifications: these provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes should have access to the relevant specification. They are published on our website: www.BTEC.co.uk.

Edexcel BTEC Assessment & Grading Policy: this is our policy on the application of grading criteria when assessing BTEC programmes: www.edexcel.com/about/policies/centrepolicies

Centre Guide to Assessment: Planning, Design & Delivery: a valuable resource for centres in planning, quality assuring and delivering BTEC programmes:

www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx.

Assessment Policy Procedures

Learner induction: should inform learners about all aspects of assessment and progress monitoring.

Reference should be made to national standards, assessment deadlines, the need for authentic work, and learner appeals.

Assignment design: should have a practical vocational focus and reference unit grading criteria. A variety of

assessment methods is encouraged. A schedule of assignments and assessment dates should be planned and monitored during delivery of the programme.

Assessment schedule: annually agreed to ensure coverage of all grading criteria.

Assessment of learner work: should be to the published unit assessment and grading criteria only. The punitive 'capping' or limiting of grades is not allowed.

Tracking assessment: a secure audit trail must be maintained, comprising assessment decisions; internal verification documentation for assignments and learner work; and unit/credit achievement for the programme. These records will be held securely for 3 years after certification.

Certification claims: need to be based on accurate, audited records.

Assessment Malpractice Policy

Aim: To identify and minimise the risk of malpractice by staff or learners.

To respond to any incident of alleged malpractice promptly and objectively.

To standardise and record any investigation of malpractice to ensure openness and fairness.

To impose appropriate penalties and/or sanctions on learners or staff where

Incidents (or attempted incidents) of malpractice are proven.

To protect the integrity of this centre and BTEC qualifications.

In order to do this, the centre will:

- seek to avoid potential malpractice by using the induction period and the student handbook to 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
- ask learners to declare that their work is their own
- ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
- conduct an investigation in a form commensurate with the nature of the malpractice allegation.

Such an investigation will be supported by the Head Teacher and all personnel linked to the allegation. It will proceed through the following stages:

1. The investigation
2. The report
3. The decision
4. The appeal

- make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven
- give the individual the opportunity to respond to the allegations made
- inform the individual of the avenues for appealing against any judgment made
- document all stages of any investigation.

Where malpractice is proven, this centre will apply the following penalties / sanctions:

1. Formal disciplinary procedures

Definition of Malpractice by Learners

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- plagiarism of any nature
- collusion by working collaboratively with other learners to produce work that is submitted as individual learner work
- copying (including the use of ICT to aid copying)
- deliberate destruction of another's work
- fabrication of results or evidence
- false declaration of authenticity in relation to the contents of a portfolio or coursework
- impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.

Definition of Malpractice by Centre Staff

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- improper assistance to candidates
- inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made
- failure to keep candidate coursework/portfolios of evidence secure
- fraudulent claims for certificates
- inappropriate retention of certificates
- assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner
- producing falsified witness statements, for example for evidence the learner has not generated
- allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework
- facilitating and allowing impersonation
- misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- falsifying records/certificates, for example by alteration, substitution, or by fraud
- fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.

This policy will be reviewed every 6 months by Quality Nominee and Senior Manager.

Assessment Malpractice - Procedures

Addressing learner malpractice:

- promote positive and honest study practices
learners should declare that work is their own: check the validity of their work
- use learner induction and handbook to inform about malpractice and outcomes
- ensure learners use appropriate citations and referencing for research sources
- assessment procedures should help reduce and identify malpractice.

Addressing staff malpractice:

- staff BTEC induction and updating should include BTEC requirements
- use robust internal verification and audited record keeping
- audit learner records, assessment tracking records and certification claims.

Dealing with malpractice:

- inform the individual of the issues and of the possible consequences
- inform the individual of the process and appeals rights
- give the individual the opportunity to respond
- investigate in a fair and equitable manner
- inform Edexcel of any malpractice or attempted acts of malpractice, which have compromised assessment. Edexcel will advise on further action required
- penalties should be appropriate to the nature of the malpractice under review
- gross misconduct should refer to learner and staff disciplinary procedures.

APPENDIX E

REGISTRATION AND CERTIFICATION PROCEDURES

Registration: registration initiates our Quality Assurance processes. Learners following a standard academic year are registered by 1st November. Learners enrolling into flexible start programmes are registered within one month of enrolment. Your procedures need to facilitate accurate, timely registration.

Transfer: learners can transfer their registration and achievement to date between centres. Transfer between programmes is permitted. Procedures need to ensure transfers are accurate and timely. They should also ensure that adequate information about the transferee's position and progress is communicated.

Withdrawal: you should let us know when a learner leaves before completion. Withdrawals can be made via Edexcel Online and a withdrawn learner may be reinstated at a later date.

Certification Claims: full qualification certification or credit certification is claimed via Edexcel Online or by paper Student Report Forms (SRFs). Claims can be made at any time of year, but claims for August certification should be received by 5th July. Your claims procedures should prevent fraudulent or inaccurate claims.

Internal Verification Policy

Aim: To ensure there is an accredited lead internal verifier in each principal subject area
To ensure that internal verification is valid, reliable and covers all assessors and programme activity.
To ensure that the internal verification procedure is open, fair and free from bias.
To ensure that there is accurate and detailed recording of internal verification decisions.

In order to do this, the centre will ensure that:

- a lead internal verifier for each principal subject area is accredited by Edexcel via the successful completion of an online standardisation exercise
- each lead internal verifier oversees effective internal verification systems within each principal subject area
- staff are briefed and trained in the requirements for current internal verification procedures
- effective internal verification roles are defined, maintained and supported
- internal verification is promoted as a developmental process between staff
- standardised internal verification documentation is provided and used
- all centre assessment instruments are verified as fit for purpose
- an annual internal verification schedule, linked to assessment plans, is in place

- an appropriately structured sample of assessment from all programmes, sites and teams is internally verified, to ensure centre programmes conform to national standards and standards verification requirements
- secure records of all internal verification activity are maintained
- the outcome of internal verification is used to enhance future assessment practice.

This policy will be reviewed every 6 months by the Quality Nominee and Senior Manager.

The policy will follow the Internal Verification procedures.

Links:

BTEC programme specifications: These provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes should have access to the relevant specification. They are published on our website: www.BTEC.co.uk.

Edexcel BTEC Assessment & Grading Policy: This is our policy on the application of grading criteria when assessing BTEC programmes: www.edexcel.com/about/policies/centrepolicies

Centre Guide to Assessment: Planning, Design & Delivery: A valuable resource for centres in planning, quality assuring and delivering BTEC programmes:
www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx.

Internal Verification - Policy Procedures

Staff briefing: all assessors, lead internal verifiers and internal verifiers require regular briefing on BTEC processes.

Verification schedules: annually agreed to cover all assessors. Schedules should be drawn up and monitored through the year.

Internal verification of assignments: carried out before use to ensure that they are fit for purpose, and that any recommendations are actioned.

Internal verification of learner work: should verify sufficiently to ensure the security of the standard.

Assessors do not internally verify their own work. Assessor feedback and support should be given. The process does not involve the learner.

Internal verification records: are correctly maintained in a secure place for 3 years after certification. We recommend that you use our standard forms for this:

www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx.

Standards verification: have in place monitoring and review procedures for standards verification outcomes. Procedures are required to deal with unsuccessful standards verification samples.