

## **Devizes School Examination Policy**

### **Objectives**

1. To ensure the planning and management of examinations is conducted efficiently and in the best interest of candidates.
2. To ensure the operation of an efficient examination system with clear guidelines for all relevant staff.

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

This policy will be reviewed annually by the Senior Leadership Team, Examinations Officer and the Governing Body.

## **1. Examination responsibilities**

### **Head of Centre - Headteacher**

Overall responsibility for the school as an Examination Centre:

- responsible for reporting all suspicions or actual incidents of malpractice, following JCQ guidelines Suspected malpractice in examinations and assessments.
- advises on appeals and re-marks.

### **Deputy Headteacher**

- strategic overview of type and timing of examinations taken.
- ensures the examination centre is cost-effective and good value for money.
- considers and decides appropriateness of withdrawal and late changes of entry; including identification of appropriate charges to faculties or candidates.
- oversee and communicate all federation and partnership examination arrangements with the Examinations Officer.

## Examinations Officer/Examinations Administrator

Manage the administration of public and internal examinations and provide data for the analysis of examination results:

- inform the Deputy Headteacher of any significant issue regarding examinations.
- advise the Senior Leadership Team, Heads of Faculty (HoFs) and other relevant support staff on annual examination timetables and application procedures as set by the various examination boards.
- oversee the production and distribution to staff and candidates of an annual calendar for all examinations and communicate with staff concerning imminent deadlines and events.
- ensure that candidates and their parents are informed of and understand those aspects of the examination timetable that will affect them.
- work with, and share information with federated schools to ensure the appropriate delivery of examinations at the Centre.
- ensure candidates are aware of regulations concerning behaviour during examinations.
- provide clear and timely deadlines as well as procedural advice to HoFs to ensure that necessary coursework is completed on time and in accordance with JCQ guidelines.
- collate estimated entries.
- receive, check and store securely all examination papers and completed scripts.
- administer access arrangements and make 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.
- identify and manage examination timetable clashes.
- account for income and expenditure relating to all examination costs/charges.
- organise the recruitment, training and monitoring of a team of examination invigilators responsible for the conduct of examinations.
- submit candidates' coursework marks, track despatch and distribute to HoFs returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule.
- arrange for dissemination of examination results and certificates to candidates and forward to candidates as necessary. In consultation with the Deputy Headteacher, manage any appeals/re-mark requests.
- maintain systems and processes to support the timely entry of candidates for their examinations.

## Heads of Faculty

HoFs are responsible for all examinations provided by their subject areas:

- provide oversight and support of all candidates who are sitting examinations in their subject areas.
- ensure the accurate completion of all requests by the deadlines set by the Examinations Officer. In particular, ensuring the accuracy of all entries and examination codes for all units/modules.
- **inaccuracies or the missing of deadlines** for any returns, from HoFs, that result in examination board charges to the Centre will be charged to the faculty.
- responsible for **late entries or changes of tier**. These need to be agreed by line manager, Head of House (HOH) and Deputy Headteacher. **Any cost incurred due to late entries or other changes will be charged to Faculty where appropriate.**
- HoFs need to seek approval for any **withdrawal of a student** from exams from line management and Deputy Headteacher, and to inform HOH. Where costs are incurred for changes made after the withdrawal deadline these will be charged to the faculty, where appropriate.
- ensure the accurate completion of coursework mark sheets and declaration sheets by the deadlines set. Any late fees incurred due to delay of return or inaccurate entry will be charged to the faculty, where appropriate.
- any changes to syllabus or new courses need to be agreed through line management and the SL should ensure the Examinations Officer is fully briefed about the changes.

- HoFs should ensure that examinations are always seen as final attempts and that students are not openly given free attempts at exams.
- the first sitting of a unit/module will normally be funded by the centre. Where there is a clear benefit to the school for supporting re-sits this may be paid by the school with agreement from the Deputy Headteacher and Head of Centre.
- ensure a member of the faculty is present at the start of all exams from their subject area.
- in consultation students can seek agreement of their HoF for re-sits, which they pay for.

### **Heads of House**

- Liaison with examinations office concerning matters affecting candidates' performance ability or potential barriers to students taking examinations.

### **SENCO and Specialised Learning Faculty Staff**

- Administration of access arrangements.
- Identification and testing of candidates' requirements for access arrangements.
- Inform Examinations Officer of changes to access arrangement, actual or potential, well in advance of examination seasons.
- Provision of additional support — with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, Information Technology equipment — to help candidates achieve their course aims.

### **Senior invigilators/invigilators**

- Liaison with examinations office staff over arrangements before the start of the examination.
- Completion of examination registers as instructed.
- Collection of all examination papers in the correct order at the end of the examination and their return to the examinations office.
- Have a clear understanding of the JCQ guidelines for examinations.

### **Candidates**

- Complete and return signed examination contracts at the start of GCSE and post-16 courses.
- Check exam individual timetables and to confirm all entries.
- Understand coursework regulations and sign a declaration that authenticates the coursework as their own.
- Follow all JCQ guidelines and adhere to all examination rules as set out in the examinations handbook and on examination notices.

## **2. The statutory tests and qualifications offered**

The statutory tests and qualifications offered at this centre are decided by the head of centre, deputy head in charge of curriculum and the HoFs.

The subjects and examinations offered by the centre in any academic year may be found in the centre's published prospectus for that year.

## **3. Entries, entry details, late entries and retakes**

### **3.1 Entries, entry details, withdrawals and late entries**

HoFs are responsible for ensuring correct entry lists and examination codes for all exams are returned to the examinations office in-line with the issued deadlines from the Examination Officer, regardless of the deadline set by examination boards. Final confirmation of entry numbers and tiers of entry will be made with HoF. Errors or late entries that result in a charge being made to the Centre from an examination board will be charged to faculties, where appropriate.

Withdrawals will be accepted by the examinations office **up to the date set by the awarding body**. For all withdrawals HoFs need to seek approval from line management and Deputy

Headteacher who will also consult the HOH. Typically students who can gain a grade should not be withdrawn. Where costs are incurred for changes this will be charged to faculties, where appropriate.

A candidate or parent/carer can request a subject entry, change of level or withdrawal, but will be liable for any costs associated with the change.

The centre may accept external entries from former candidates only, and only where appropriate.

### **3.2 Retakes**

The first sitting of an exam, unit or module will normally be funded by the centre. Any re-sits requested by HoFs need to be agreed through line management and with the Deputy Headteacher. Where there is a clear benefit to the school for supporting re-sits this may be paid by the school with agreement from the Deputy Headteacher.

Students, in consultation and with the agreement of HoFs, can request and pay for individual re-sits.

## **4. Examination fees**

GCSE initial registration and entry examination fees are paid by the centre.

AS initial registration and entry examination fees are paid by the centre.

A2 initial registration and entry examination fees are paid by the centre.

BTEC and other vocational qualification registration fees are paid by the centre.

University entrance test fees are paid by the centre.

Late entry or amendment fees arising from admissions after the awarding body deadline or in other exceptional circumstances, are paid by the centre.

Candidates or faculties will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies. Faculties will be charged where HoFs provide inaccurate or late information that incurs a charge from an examination board.

Retake fees for first and any subsequent retakes are normally paid by the candidates.

Reimbursement will be sought from candidates who fail to sit an examination or meet the necessary coursework requirements.

This fees reimbursement policy will be communicated in writing to candidates and parents/carers at the start of GCSE and post-16 courses in the form of an examinations contract.

HoFs need to seek approval from line management and Deputy Headteacher to request an enquiry about a result.

Candidates must pay the fee for an enquiry about a result, should the centre not uphold the enquiry and the candidate insists on pursuing the enquiry.

## **5. The Equality Act, special needs and access arrangements**

### **5.1 DDA**

The Equality Act 2010 includes provision for access to general qualifications. All examination centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

### **5.2 Special needs**

A candidate's special needs requirements are determined by the educational psychologist / specialist teacher.

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

### **5.3 Access arrangements**

Making special arrangements for candidates to take examinations is the responsibility of the examinations office with support from SENCO / LS staff. Applications to be received from LS staff by the dates given in the JCQ Access Arrangements, Reasonable Adjustments and Special Consideration document.

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

Rooming for access arrangement candidates will be arranged by the examinations office.

Invigilation and support for access arrangement candidates will be organised by the examinations office.

## **6. Managing invigilators and examination days**

### **6.1 Managing invigilators**

External invigilators will be used for all examination supervision.

The recruitment of invigilators is the responsibility of the examinations office. Securing the necessary Disclosure Barring Service applications 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 examinations office.

Invigilators' rates of pay are set by the Bursar.

### **6.2 Examination days**

The examinations office will book all examination rooms after liaison with other users and make the question papers, other examination stationery and materials available for the invigilator.

Site management is responsible for setting up the allocated rooms in accordance with examination office issued instructions.

The Examinations Officer or lead invigilator will start all examinations in accordance with JCQ guidelines.

HoF or a member of the faculty to be present at the start of the examination to assist with identification of candidates but must not advise on which questions are to be attempted.

In practical examinations subject teachers are to be on hand in case of any technical difficulties. Examination papers must not be read by subject teachers or removed from the examination room before the end of a session. Papers will be distributed to HoFs as soon as possible after the end of the examination session.

## **7. Candidates, clash candidates and special consideration**

### **7.1 Candidates**

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

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

Disruptive candidates are dealt with in accordance with JCQ guidelines.

For examinations longer than one hour, candidates will not be allowed to leave the examination room until at least one hour after the published starting time. They will not be allowed to return.

Centre staff will attempt to contact any candidate who is not present at the start of an examination and deal with them in accordance with JCQ guidelines.

## **7.2 Clash candidates**

The Examinations Officer will be responsible as necessary for identifying escorts, identifying a secure venue and arranging overnight requirements in-line with JCQ guidelines.

## **7.3 Special consideration**

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

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

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

# **8. Coursework and appeals against internal assessments**

## **8.1 Coursework**

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

HoFs will ensure all coursework is ready for despatch at the correct time and the examinations office will keep a record of what has been sent when and to whom.

Marks for all internally assessed work are provided to the examinations office by the HoFs or submitted by them online in the case of WJEC.

## **8.2 Appeals against internal assessments**

The centre is obliged to publish a separate procedure on this subject. It is contained in the Examinations Handbook which is available to view on the VLE and the school website.

The main points are:

- appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded.
- candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification
- appeals should be made in writing by 30 June to the head of centre who will decide whether the process used conformed to the necessary requirements.
- the head of centre's findings will be notified in writing, copied to the Examinations Officer and recorded for awarding body inspection.

# **9. Internal Examinations and controlled assessments**

## **9.1 Internal Examinations**

Faculties are responsible for producing examination papers which are suitable for the time slot allocated to their subject.

## **9.2 Controlled Assessments**

Controlled assessments will be conducted within subject areas. Any requests for support need to be made well in advance. HoFs are responsible for the timing of controlled assessments and the notification of them to the Examinations Officer and other HoFs (see Controlled Assessment Policy).

## **10. Results, enquiries about results (EARs) and access to scripts (ATS)**

### **10.1 Results**

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

Arrangements for the school to be open on results days are made by the examinations office. The provision of staff on results days is the responsibility of the examinations office.

### **10.2 EARs**

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

Where appropriate fees for EARs are paid for by the centre. HoFs must obtain informed written consent from candidates and agreement from line management and Deputy Head before launching an EAR.

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.

### **10.3 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 Examinations 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 and there must be approval by the line manager. The cost of this service is the responsibility of the faculty.

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

## **11. Certificates**

Certificates are either:

- presented in person at the Certificate Presentation Evening
- posted using the 'Signed For' service on receipt of a £2.50 fee collected on Clearance Day
- collected and signed for from the examinations office

Certificates may be collected on behalf of a candidate by a third party, provided they have been authorised to do so. Certificates are not withheld from candidates who owe fees. The centre retains certificates for one year.

### **Glossary**

ATS	Access To Scripts – centres may request the return of photocopies or original scripts after each examination series.
EARs	Enquiries About Results – first stage of the enquiries and appeals process that allows for clerical check, re-marks and re-moderations via the post-results services governed by the JCQ regulations.
GCSE	General Certificate of Secondary Education
GCE	General Certificate of Education
HoF	Head of Faculty

JCQ	Joint Council for Qualifications - the voice of the awarding bodies offering the majority of the UK's educational qualifications
SENCO	Special Educational Needs Co-ordinator - member of staff who has responsibility for co-ordinating pupils' special educational needs
SLT	Senior Leadership Team
VLE	Virtual Learning Environment
WJEC	Welsh Joint Education Committee

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Date approved by the Curriculum Committee: 25 Nov 14

Date adopted by the Governing Body: 9 Dec 14

Date for Review: Sep 15



## Controlled Assessment Policy

### Note

**These instructions are additional to any guidelines or regulations an individual awarding body may issue. If there is conflict between the awarding bodies' guidelines or regulations and these instructions, the awarding body and subject-specific instructions shall prevail.**

### Introduction

Control assessment is a form of internal assessment where the control levels are set for each stage of the assessment process; task setting, task taking and task marking. Controlled assessment has replaced coursework GCSE specifications.

Further detail is contained in JCQ document - Instructions for conducting controlled assessments (GCSE qualifications)

### Responsibilities

The conduct of all controlled assessments should be **carefully planned to fulfil the requirement of the syllabus**. HoFs should ensure that controlled assessments are conducted in accordance to the guidance, paying particular attention to the level of control.

Typically controlled assessments will be **conducted within lesson times in faculties**. Some may require different timing and or location. Where this is the case HoFs need to agree the organisation of the controlled assessment with their line manager.

### Security

Each awarding body will provide subject specific information on the security levels for controlled assessments. The Examination Office, HoFs and class teachers must ensure that assessment materials, issued by an awarding body, are kept secure throughout the assessment process.

Each subject area must have a secure cabinet within the teacher's class room or faculty whereby assessment materials can be kept during the assessment process and before they are passed to the Examinations Officer for submission.

#### *Reference:*

*JCQ document Instructions for conducting controlled assessments (GCSE qualifications)*

*4.9 Candidates work for assessment must be stored securely within the centre. Work may be stored either within the faculty or the exams office. Secure storage is defined as a secure locked steel cabinet, a metal cabinet or similar cabinet.*

### Supervision

Supervision can be:

- High level of control (Formal)
- Medium level of control (Informal)
- Low level of control (Limited)

This will be detailed in the specification.

Under high level of control the candidate must be under direct supervision at all times. The use of resources will be directed by the awarding body but in particular access to email, the internet and mobile phones must not be permitted.

Teachers must ensure that display material in the teaching environment which may provide assistance is removed or covered.

Under Medium Control the use of resources is not tightly prescribed and group work is normally permitted provided that any assessable outcomes can be attributed to individual candidates. Candidates do not need to be under direct supervision at all times, however HoFs must ensure that:

- All candidates participate in the assessment
- Plagiarism does not take place
- Sources used by a candidate are clearly recorded
- Each candidate's preparation for the final production of the work is his/her own.

Under low level control, the requirements are clearly specified by the awarding body and work may be completed without direct supervision.

## Conduct

Devizes School examinations conduct protocols apply for High Level and Medium Level Controlled assessments. This includes the requirement to ensure bags are in a separate area and no mobile phones are in the assessment.

## Resources

Many subjects will require the candidates to use information previously prepared. The levels of control will be stated by the awarding body. The use of the internet is permissible at the research and planning stage, but not when the final work is being word processed or written, unless stated otherwise within an awarding bodies specification.

Referencing and quotations need to be clearly identified.

*Reference:*

*JCQ document Instructions for conducting controlled assessments (GCSE qualifications)*

- 4.1 *If candidates use the same wording as a published source they must place quotation marks around the passage and state where it came from. Candidates must give detailed references even where they paraphrase the original material. A reference from a printed book or journal should show the name of the author, the year of publication and the page number, preferably in a bibliography.*

*For material taken from the internet, any reference must show the precise web page, not the search engine used to locate it. This can be copied from the address line, e.g.*

<http://www.bbc.co.uk/schools/16/soteacher/history/40766.shtml>

## Completing the task

*Reference:*

*JCQ document Instructions for conducting controlled assessments (GCSE qualifications)*

*Centres are required to ensure that when candidates are undertaking the tasks, the controls are complied with.*

## Access Arrangements

**Access arrangements** are a complicating factor the guidelines dictate that:

- *The **overriding principle** is that if a candidate has an access arrangement as part of his or her normal way of working and he/she requires such an arrangement for the written component(s), then a **similar arrangement** should be made for the controlled assessment(s). (taken from 6 JCQ, see below)*
- *Access arrangements for candidates must be made in advance of the assessment.*

- HoFs should ensure that the controlled assessments do not disadvantage any student who qualifies for access arrangements, or that additional arrangements do not deliver an unfair advantage. HoFs need to take a **measured approach** to access arrangements.
  - Typically this will involve extra time if the student wants it and access to a word processor (probably in place of a scribe or reader). Ultimately we should provide additional (similar) arrangements to support the student so they are not disadvantaged or advantaged during the assessment.
- HoFs should use the list on the VLE to identify students who are entitled to access arrangements. Discussion with the line manager will support the use of appropriate arrangements for students entitled to access arrangements.

6. *The overriding principle is that if a candidate has an access arrangement as part of his or her normal way of working and he/she requires such an arrangement for the written component(s), then a similar arrangement should be made for the controlled assessment(s). As with written examinations, an approved application must be on file, with supporting evidence of need where required. Teaching staff should ensure that they are aware of any access arrangements which need to be applied during a controlled assessment.*

## **Use of ICT**

Pupils can word process within the guidelines of the specification. Pupils will need to access a separate examination drive to ensure that the Internet, spell check, grammar check and other restricted programmes are disabled.

Headers and Footers with the candidates name, centre number and candidate number are included on every page. Pupils work will be held securely between sessions which may be in the form of an electronic storage device which will need to be placed in the faculty's secure storage.

## **Absence**

### Candidate absence for the controlled assessment, present during the teaching period:

HoFs and class teachers will re-arrange supervision time for the controlled assessment informing the Examinations Officer of the new arrangement.

### Candidate present for the controlled assessment having been absent during the teaching period:

Candidate must complete the controlled assessment. Once the candidate's performance has been analysed, the HoF and class teachers may decide to provide the opportunity for an additional new task to be completed. The teaching time for this will most likely take place in extra-curricular sessions.

### Candidate is absent for the teaching period and the controlled assessment:

The HoF, informed by the class teacher will in the first instance seek the awarding body's advice regarding part absence.

The candidate will need to attend extra-curricular sessions in order to receive teaching component. The HoF will re-arrange supervision time for the controlled assessment informing the Examinations Officer of the new arrangement.

### Candidates granted holiday leave during Key Stage 4:

Where avoidable, holiday leave should not be granted. If leave is granted, candidates will need to be informed of compulsory extra-curricular sessions.

### Staff absent during preparation time, short term (up to 3 days):

The HoF will delay the teaching period.

Staff absent during preparation time, long term (3 days or more):

The HoF will make the decision as to whether to continue with the controlled assessment or delay. If the decision to delay is made, the timing of the new session must be made in conjunction with SLT. If the decision to continue is made, the HoF must set appropriate preparation work under advice from the class teacher.

Staff absent during test time:

HoFs must ensure that the supervision is in line with awarding body's specifications.

## **New Students/Leavers**

Heads of House must ensure that all work completed in controlled assessments is either sent on to or received from other establishments.

HoFs must be aware of each individual's circumstances so that decisions can be made about applying for consideration, part absence etc.

## **Authentication**

*Reference:*

*JCQ document Instructions for conducting controlled assessments (GCSE qualifications)*

### **4.7 How is candidates' work authenticated?**

*All candidates must sign a declaration to confirm that the work they submit for assessment is their own unaided work. Awarding bodies will issue documentation for this purpose.*

*Teachers must confirm that the work:*

- is solely that of the candidate concerned;*
- was completed under the required conditions.*

*Teachers must be sufficiently familiar with the candidate's general standard to judge whether the piece of work submitted is within his/her capabilities.*

## **Malpractice**

If malpractice such as plagiarism is suspected, it must be reported in the first instance to the Faculty Head who will then make the decision of how to proceed, after discussion with the SLT Line Manager.

General guidelines suggest that candidates must **not** submit work that is not their own, lend work to other candidates, give other candidates access to, or the use of their own independently-sourced research material (this does not mean that candidates cannot lend their books to another candidate, but that candidates should be stopped from copying other candidates' research), include work copied directly from books, the Internet or other sources without acknowledgement of the source, hand in work typed or word processed by someone else without acknowledgement.

These actions are considered malpractice, for which a penalty (for example being disqualified from the exam) will be applied.



## DEVIZES SCHOOL

## RISK MANAGEMENT PROCESS – GCSE Controlled Assessments

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
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	DPF, HoF
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 some time between assessments	DPF, HoF
<b>Accommodation</b>			
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	HoF, DPF, GIB
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		HoF, DPF, GIB

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Downloading awarding body set tasks</b>			
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	HoF, ICT Support
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	HoF, GDG
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	HoF, GDG
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		HoF
Candidates have a scheduling clash for exams or assessment	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes  N.B. retakes of controlled assessment are limited	HoF, GDG

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Control levels for task taking</b>			
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	HoF, GDG
<b>Supervision</b>			
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	HoF
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		HoF, GDG
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are <b>not</b> 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.		HoF

\* Not all controlled assessment will require the completion of a study diary or study plans

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Task setting</b>			
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	HoF, GDG
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	HoF, GDG
<b>Security of materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	HoF, GDG
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each faculty as necessary	Take materials to secure storage	HoF, GDG
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	HoF, GDG, DPF

\*\* 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
	Forward planning	Action	
<b>Deadlines</b>			
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.	HoF, GDG
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	HoF, GDG
<b>Authentication</b>			
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	HoF, GDG
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	HoF, GDG

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Marking</b>			
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	HoF, GDG
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.	HoF, GDG

Review Date: September 2015



## DEVIZES SCHOOL

## RISK MANAGEMENT PROCESS – EXAMINATION PROCEDURES

<b>Risk</b>	<b>Early warning</b>	<b>Control to prevent</b>	<b>Control to resolve</b>
Invigilator does not turn up	Phone call or e-mail	Invigilator timetables issued and dates/times confirmed	On busy days employ emergency invigilator or EO to cover
Fire alarm goes off			Ensure invigilators are aware of policy. Specific area allocated for exam candidates.
Student taken ill during exam			Invigilator aware of procedures. Special consideration for all students.
Bad weather or transport problems	Weather report	Possible delay to start of exam	Delay start, contact awarding body, isolation of candidates if late and hold staggered sessions if necessary. Special consideration.
Students do not turn up for exam		Student timetables and information from subject teachers	Exam staff to ring student. Ensure latecomers can be accommodated and invigilation sufficient.
Students turn up who are not entered		Subject leaders ensure entry checklists are correct	Find a paper, seat them, amend attendance list and make entry. Charge late fee to faculty.
Cheating in the room	Invigilator reports problem	Warning/Information for candidates on VLE and school website. DPF to address in assemblies	Invigilator aware of procedures. SLT on-call to deal with malpractice issue
Disruption in the room	Invigilator reports problem	Warning/Information for candidates on VLE and school website. DPF to address in assemblies	Invigilator aware of procedures. SLT on-call to deal with behavioural issues
Late arrivals	Phone call or just turn up late	Candidates issued with individual timetables	Invigilator aware of procedures. Exam Officer on-call.
EO does not turn up	Phone call	Regular meetings with line manager	SLT to have back-up policy
Exam room facilities unsuitable (lighting not working, etc)	Check room or invigilator reports problem	Regular premises checks	Find alternative accommodation. Special consideration.

<b>Risk</b>	<b>Early warning</b>	<b>Control to prevent</b>	<b>Control to resolve</b>
Wrong entry made – incorrect paper		Subject leaders ensure entry checklists are correct	Contact awarding body for copy of paper if necessary. Provide exam paper, seat and amend entry.
EO leaves/long term sick	Notification from EO	Regular meeting with line manager	SLT to have back-up policy.
Curriculum model changes	Government white paper. Information from Gov.uk and awarding bodies		Planning and action plan to implement changes.
Damage to office		Regular premises checks	Need awarding body handbooks, new equipment, phone line and office space. Copies of relevant information from HoFs. Contact Gov.uk for assistance.
System failure or power cut			Contact IT support or electrician and if necessary Gov.uk for assistance. Contact awarding body to inform entries will be late.
Receiving inaccurate or late entry information		Subject leaders ensure entry checklists are correct and on time.	Charge late fee to faculty
Change of syllabus and no notification	Pre-release material does not arrive. Materials arrive that are not expected.	Subject leaders ensure entry checklists are correct.	Contact awarding body
Subject Leader long term sick or leaves	Resignation or sick note.		Replacement to be nominated.
Awarding body communications systems fail	Papers do not arrive, on-line systems incorrect, difficult to contact by telephone.		Contact Gov.uk to report problem. Give extra time for checking.

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