

## EXAMINATIONS POLICY

### Introduction

This examination policy has been produced in order to rationalise the various procedures associated with examinations during the academic year. In particular, the purpose of this policy is to:

- Ensure that the planning and management of all internal and external exams are conducted efficiently and in the best interest of candidates.
- Ensure the operation of an efficient exam system with clear guidelines for all relevant members of staff.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy. This exam policy will be reviewed every year by the Senior Leadership Team (SLT) and the Exams Officer.

This document reflects on instructions for conducting examinations in accordance with the Joint Council for Qualifications (JCQ). The instructions are for use in all AEA, GCE, GCSE, ESL, Foundation and internal/mock examinations. The instructions are additional to any guidelines or regulations the awarding bodies have issued in their booklets or specifications. Should there be any conflict between guidelines, the JCQ Regulations shall prevail.

All correspondence relating to this policy document should be sent in the first instance, to the Senior Leadership Team, the Data Manager and the Exams Officer.

### Exam Responsibilities

Head of Centre (Principal)

- Overall responsibility for the college as an exam centre

Curriculum Directors

- Oversee and manage all exam entries, mark sheets and adherence to deadlines, as set by the Exam Boards and College.
- Oversee and manage completion of estimated grade forms, coursework mark sheets and declaration sheets.
- Guidance and pastoral oversight of candidates, who are unsure about exam entries or amendments to entries.
- Nominate departmental/subject representative to be in attendance at the beginning of their specific examinations as Senior Invigilator in conjunction with another invigilator if the exam is the subject they teach or are responsible for as a CD/PD.
- Involvement in post-results procedures.

Teaching Staff

- Accurate and timely submission of all exam entries through Curriculum Directors.

#### Data & Attendance Manager

- Advise and manages the examinations policy ensuring all processes are adhered to, effective and efficient.
- Analysis of Exam Results

#### Exams Officer

- Manages the administration of all public and internal exams.
- Advises the SLT, CDs, subject teachers and other relevant support staff of annual exam timetables and application procedures as set by the various exam boards.
- Responsible for the administration of all examinations, including liaison with examination boards, ensuring that all entries are placed in accordance with JCQ deadlines.
- Production and distribution to staff and candidates of an annual calendar/schedule for all exams, in which candidates will be involved.
- To remain on-site at all times, when exams are taking place.
- Regular communication with all staff concerning imminent deadlines and events.
- Ensure that candidates are informed of and understand those aspects of the exam timetable that will affect them.
- Consult with Teaching Staff to ensure that necessary coursework is completed on time and in accordance with JCQ/Foundation guidelines.
- Provides and confirms detailed data on estimated entries.
- Receives, checks and stores securely, all exam papers and completed scripts.
- Administration of Access Arrangements.
- Identification and testing of candidate requirements for access arrangements.
- Organisation of any additional support, to assist candidates achieve their course aims
- Advises on appeals and re-marks
- Reports all suspicions or actual incidents of malpractice to the Principal (Refer to the JCQ document 'Suspected Malpractice in Examinations and Assessments')
- Advises on arrangements for students with special educational needs and disabilities

#### Senior Invigilator/Invigilators

- Responsible for maintaining the integrity of the exam.
- Distribution of exam papers within the exam hall in accordance with registers and seating plans.
- Completion of exam registers.
- Responsible for recording the details of each exam in the Exam Log Book including full reports on any incidents of malpractice.
- Collection of all exam papers and scripts in the correct order at the end of each exam and their safe return to the Exams Officer.
- Comply with and uphold the 'Rules and Guidance for Invigilators' as outlined by the Exams Officer and the 'Instructions for Conducting Examinations' (ICE) Yellow JCQ booklet.

#### Candidates

- Checking and confirmation of exam statement of entries.

- Responsible for checking their own exam timetables on Shackleton and attending all scheduled exams.
- Candidates must inform the Exams Officer/ CD if they wish to be withdrawn from a particular exam.
- Understanding coursework regulations and signing a declaration, authenticating coursework as their own.

## Qualifications Offered

Qualifications offered at this centre are decided by the SLT. Qualifications currently offered at CATS College include at GCE A2, AS, Foundation, ESL qualifications and IGCSE. The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there are any changes to the syllabus, from the previous year, the Exams Officer must be informed by CD, during the first week of the new academic year.

Decisions on whether a candidate should not take an individual subject exam will be taken in consultation with the candidate, parents, CDs and Vice Principal.

## Exam Seasons and Timetables

### Exam Seasons

Internal and mock-exams are scheduled as announced in the Academic Calendar for the College. External exams are scheduled for May/June. (November for some university entrance exams)

### Exam Timetables

Once confirmed, the Exams Officer will circulate exam timetables for all internal and external exams. These will be sent out by email directly to students, and will be available on Shackleton and the Examinations noticeboard.

## Entries, Late Entries, Amendments and Exam Fees

The Exams Officer will send a download of class lists to CDs to request entries for each exam subject and units. Candidates are selected for their exam entries by teaching staff through the CDs. The returned list of exam entries must clearly indicate the students to be entered for each exam unit and the cash in codes if the student's units are to be cashed in. Candidates and/or parents can request a subject entry, change of level or withdrawal.

### Late Entries

Entry deadlines are circulated to Curriculum Directors and Teaching staff via email and college intranet/calendar by the Exams Officer. Late entries are authorised by the Vice Principal.

### Exam Fees including Late Fees

Candidates pay for all normal exam fees. All late entry or amendment fees are paid by the Department, unless a candidate/parent has requested the change, in which case the candidate will pay.

## **The Disability Discrimination Act (DDA), Special Needs And Access Arrangements**

The Disability Discrimination Act 2005 and the Equalities Act 2010, extend the application of the DDA to general qualifications. All exam centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

### Special Educational Needs and Disabilities

A candidate's special needs requirements are determined by the Vice Principal who will inform subject teachers of candidates with special educational needs, who are embarking on a course leading to an exam.

Candidates, who may require access arrangements, are identified during the admissions process. Making special arrangements for candidates to take exams is the responsibility of the Exams Officer. Submitting completed access arrangement applications to the awarding bodies via the Exams Officer, is the responsibility of the Vice Principal. The Exams Officer is responsible for ensuring that access arrangements are applied for, by the date laid down by the Exam Boards.

All students requiring access arrangements must apply through the Exams Officer, for which they require a UK SPLD qualified assessor to undertake an assessment of needs. The assessment must be valid i.e. within the last two years of their exam year. JCQ Form 8 must be completed with the UK standard scores from this assessment of needs.

Rooming for access arrangement candidates will be organised by the Exams Officer. These candidates should be roomed separately in order to accommodate extra time, the use of laptops and to avoid interruption and excessive noise during an exam. In these cases, a separate invigilator will be required.

Generally, any student who has resided in the UK for more than two years is not entitled to the use of a bilingual dictionary. Ultimately, there will be exceptions to the rule however these will be in accordance with the current JCQ regulations.

Other arrangements regarding the JCQ General Instructions for Conducting Exam may be provided to a candidate without prior approval.

## **Estimated Grades**

Teachers through CDs will submit Estimated Grades, in accordance with dates published by the Exam Boards and School Examination Schedule to the Exams Officer.

## **Coursework and Internal Assessments**

Candidates, who have to prepare coursework, will do so by the date stipulated by the JCQ Exam Boards. CDs must ensure that all coursework and relevant paperwork is completed and returned to the Exams Officer by the required date.

Marks for all internally assessed coursework, are forwarded to the Exams Officer by the CDs and will be recorded in a coursework mark log.

The college, in respect of Appeals against Internal Assessments, has a separate policy on this subject, which is outlined below. A student may appeal against an internal assessment for a JCQ examination.

## **Coursework And Appeals Against Internal Assessments and EaRs**

All appeals and Enquiries about Results must apply to the process leading to an assessment. There is no appeal against the final coursework marks or grade unless it refers to a part of the assessment process leading to this final coursework mark or grade.

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 as soon as possible, and must be made at least two weeks before the JCQ coursework deadline so that there is opportunity and time for reassessment.

The Exams Officer's findings will be notified in writing, copied to the Head of Centre and recorded for awarding body inspection.

## **Examination Centre Organisation**

Examination or other assessment processes are an important part of all courses, in that student success is dependent on them. Therefore, the college must ensure that all such processes are robust and secure.

## **Security**

Safe Custody of Question Papers and Other Examination Materials

Each question paper and examination material delivery must be checked carefully upon receipt and the Exam Board notified immediately, if there are any discrepancies or any other cause for concern such as:

- Discrepancies between the material received and the advice note.
- The material received does not meet the agreed requirements.
- The material has been damaged rendering it unfit for use.
- There is evidence of a breach of security.

Reception staff are responsible for ensuring that the Exams Officer is notified as soon as a delivery from the Exam Boards arrives and the delivery is recorded in the Exams Delivery Log. The delivery must be held securely in Reception until the Exams Officer or another member of Exams Staff can collect it. This must then be signed out and taken to the Exams Officer for checking.

Examination papers must be locked away, ideally in lockable, fireproof, non-portable strong metal cabinets. Cabinets must be in a secure room with access restricted to key holders. Ideally, the room should be windowless. Where there are windows, arrangements must be made for them to be fitted with an effective security device (e.g. Metal bars). The door to the room should be of solid construction, have secure hinges and be fitted with a security lock. Only the following members of staff are authorised to have access to the Exam Store:

- Exams Officer
- Data & Attendance Manager
- Vice Principal
- Principal

No other employee or contractor is permitted in the store without direct supervision.

The Exams Officer must be informed immediately if the securities of the examination papers or confidential ancillary instructions are put at risk by fire, theft, loss, damage, unauthorised disclosure or any other circumstances.

The packets of examination papers and other examination material must not be opened more than 4 hours before the time appointed for the examination concerned, except where otherwise instructed. Strict precautions must be taken to safeguard examination papers after they have been opened. In particular, they must not be removed from the college and when not in use, must be kept in a secure area.

Examination stationery will be provided by the exam boards. Such material must be stored securely at all times, so that no unauthorised person has access to them.

#### **Timetable Start Times and Variations**

All morning and afternoon exams will begin at 9.00am and 1.30pm respectively. Timetable variations are not permitted unless authorised by the exam board. Should an early start time be authorised, candidates must remain under the supervision until 1 hour after the published starting time for that particular examination.

Additionally, question papers used by those candidates must be kept under secure conditions until one hour after the published starting time for that examination.

If candidates are permitted to take an examination in a different session from other candidates, all copies of the question paper used in the earlier session must be recovered, sealed in an envelope and returned to secure storage.

#### **Use of Calculators**

Where the use of electronic calculators is permitted, candidates must be informed in advance that:

- The calculator must be suitable for use on the desk at which the candidate will attempt the examinations.
- The power supply must be integral.
- A fault in a calculator will not be considered as justifying the giving of any special consideration.
- Calculator cases, instruction leaflets or formulae printed on the lid of cover of calculators must not be in the possession of candidates during the examination.

- Calculators must not be borrowed from other candidates in the course of an examination for any reason. The invigilator may provide a replacement calculator.
- Programmable calculators may be used, but no prepared programmes may be taken into the examination room.

Calculators with any of the following facilities are prohibited:

- Data banks
- Dictionaries or language translators
- Retrieval of text or formulae
- Built-in symbolic algebra manipulations
- Symbolic differentiation or integration
- Capability of remote communication with other machines

### **Resources for Examinations**

Resources other than calculators may be permitted for some papers, as stipulated in the exam paper notes. These may include dictionaries and editions of set texts. Candidates should be informed in advance that they are responsible for bringing with them any materials stipulated as required for the examination. Possession of unauthorised material in an examination, whether for intended use or not, constitutes an infringement which will be subject to penalty and possible disqualification.

### **Examination Locations**

All candidates must sit the examination in the location as detailed on their personal timetable/statement of entry. The location standards for examinations are as follows:

- The Operations Manager is responsible for ensuring all allocated exams rooms are set up as per the Exams Office in accordance with JCQ regulations.
- Due attention must be paid to such matters as heating, lighting, ventilation and the level of extraneous noise
- No display material, which might be helpful to candidates, must be visible in the examination.
- Reliable clocks must be visible to each candidate in the examination room
- A board displaying details must be visible to all candidates showing the centre number, examination paper title and code and the starting and finishing times of each examination.
- The seating arrangements must be such as to allow all candidates to face the same direction and prevent candidates from overlooking, intentionally or otherwise, the work of others. The minimum distance between desks (centre to centre) must be 1.25m.
- Each candidate should have a separate desk or table, of sufficient size to accommodate question papers, maps and answer booklets.
- Candidates will be seated in candidate number order.

The aforementioned standards also apply to Access Arrangements candidates who may be located differently.

## **Invigilation Arrangements**

The recruitment of Invigilators is the responsibility of the Exams Officer and SLT. The necessary Disclosure and Barring Service (DBS) clearance for new external invigilators is the responsibility of the HR Officer. The Exams Officer is to obtain the necessary paperwork, as directed by the HR Officer. DBS fees will be paid by the College.

The Exams Officer through the Head of Centre must ensure that invigilation is carried out by suitably qualified and experienced adults. Whilst the Head of Centre has discretion to decide who is suitably qualified and experienced, any relative of a candidate in the examination room is specifically not eligible to serve as an invigilator.

Relevant invigilator training sessions and briefings will be given annually by the Exams Officer.

The invigilator is the person in the examination room responsible for the conduct of a particular examination session in the presence of the candidates. Invigilators must give their whole attention to the proper conduct of the examination. Invigilators are not to perform any additional task in the examination room, talk to each other except in relation to the examination in progress.

Sufficient invigilators must be appointed to ensure that the examination is conducted in accordance with the following requirements:

- At least one invigilator must be present for every 30 candidates or part thereof
- Invigilators may be changed, provided that the number present does not fall below the number prescribed.
- When only one invigilator is present, he/she must be able to summon assistance easily, without leaving the examination room and without disturbing the candidates i.e. college to provide mobile phone or radio.
- Arrangements must be such that each candidate in the examination room can be observed by an invigilator at all times.
- Invigilators must be familiar with the JCQ Regulations, which govern guidelines for examinations: <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

If the number of candidates is over 30 in a given location, an experienced invigilator should be assigned the role of Senior Invigilator. Senior Invigilators should:

- Make their presence and identity known to other invigilators upon arrival in the examination location or staff room.
- Be on duty throughout the examination.
- Co-ordinate the start and finish of the examination in accordance with agreed protocols.
- Take responsibility for resolving any problems, which may arise during the examination.

Examination rules cannot be exhaustive and cover every eventuality. If a situation arises, which is not covered by the rules, or if for any reason the rules cannot be wholly applied, invigilators must use their discretion, with guidance from the Exams Officer if necessary, within the principle that whatever decision is taken, the candidates are not disadvantaged. Any such irregular decisions should be noted.

Invigilators must be in the examination location at least 30 minutes before the start of each examination period, to ensure that all requisite administrative functions have been undertaken; for example, that all necessary stationery etc is available and distributed to candidates' desks before candidates are admitted to the examination room.

Invigilators must exercise constant vigilance; they should, from time to time, move about the examination room at random, bearing in mind the importance of causing minimum disturbance to students. They should occasionally inspect matter on candidates' desks.

Invigilators must ensure that all examination scripts and unused books are collected at the end of the examination. Completed scripts must not be left unattended in the examination room after the examination has ended.

Invigilators may neither smoke, nor bring food into the examination room. Water is permissible.

## **Conduct During Examinations**

All examinations must be carried out in accordance with JCQ Regulations.

### **General**

Invigilation is an essential task to ensure the proper conduct of examinations. As such:

- Exam papers must not be read by teachers, or removed from the exam room. Exam question papers may be collected from the Exams Officer by CDs, 24 hours after the exam has taken place, in accordance with JCQ regulations.
- Candidates must observe all instructions given by an invigilator
- A candidate who wishes to attract the attention of an invigilator shall remain seated and raise a hand.
- At the discretion of the Senior Invigilator through the Exams Officer, a student who is unable to identify himself/herself as a candidate registered for the unit may be included if they were omitted from entries and a late entry can be made on the day of the exam and their name and candidate number added to the exam register.
- Any candidate alleged to have committed an offence under these regulations, could be subject to disciplinary/administrative procedures

### **Identification of Candidates**

The invigilators must be satisfied as to the identity of every candidate attending each examination session. Students should bring their College ID badge with them to the exam or their identity should be verified by a member of staff, or using the photo on Shackleton.

### **Entering and Leaving Examination Rooms**

Invigilators must ensure that the following rules are adhered when entering or leaving exam rooms:

- Candidates may be admitted to the examination room not more than 15 minutes before the start of the examination, except in approved cases where extra time has been allowed for a candidate.

- No candidate may enter the examination room later than 1 hour after the start of the examination or after 30 minutes for an exam which has a duration of less than 1 hour.
- As a guide, no candidate may enter the examination room 30 mins after the start of the examination and not at all if another student has left the room. Whether we allow students to enter the room up to an hour after the exam has started (JCQ regulations) is entirely at the discretion of the college, and there would have to be exceptional circumstances to allow a student into an examination this late.
- No candidate may leave the examination room other than for illness, or other reason acceptable to the invigilator, before 30 minutes after the start of the examination. Candidates, who leave the examination room without the permission of an invigilator, will be deemed to have withdrawn from the examination and will not be permitted to re-enter the examination room.
- No candidate may leave the examination room within the last 20 minutes of the examination, other than in exceptional circumstances and with the permission of the invigilator.
- A candidate who wishes to leave the examination room early (before the final 20 minutes has commenced) shall attract the attention of an invigilator and when given permission to do so, shall leave the examination room, remaining supervised the entire time and with the minimum of disturbance
- All answer books (used and unused), are to be collected from candidates before they are permitted to leave the examination room

### **Exam Stationery and Materials**

The invigilator must take all reasonable steps to ensure that:

- All work, including rough work, is done in the answer books provided. Additional sheets of paper, such as graph paper and drawings, must be clearly marked with the candidates Registration Number and fixed to the relevant answer book.
- Pages may not be removed from an answer book, nor may an answer book be removed from the examination room.
- Mathematical tables, charts and other relevant texts, which may be provided for candidates' use, are the property of the school and may not be removed from the examination room.
- Candidates will be instructed by an invigilator or by examination paper instructions and rubrics, what aids such as calculators are permissible. A candidate, who brings into the examination a calculator other than a type specified in the examination notes, commits an offence under the JCQ Regulations.

### **Unauthorised materials**

Unauthorised materials and mobile phones, in particular, whether or not switched on or within reach constitute an infringement of the regulations. Invigilators may inspect any materials or items in the examination room, or in any candidates' possession, at any time during the examination. If unauthorised items are taken into the examination room, such items should be placed out of reach of the candidates before the examination commences.

### **Starting the Examination**

An examination is deemed to be in progress from the time the candidates enter the room until all scripts have been collected. However, before candidates are permitted to start work, the invigilator must ensure that candidates are seated in accordance with the prescribed seating plan.

In addition, the Senior Invigilator must read to candidates, regulations relating to the behaviour/conduct during the examination.

### **Attendance Register**

The Senior Invigilator must complete the Attendance Register during the examination, in accordance with JCQ Regulations. If a candidate is not shown on the Attendance Register, he/she may be permitted to sit the examination and their name added to the register. If a candidate has been entered but is not present for the examination, he/she must be marked as absent on the Attendance Register.

### **Behaviour during Examinations**

The following rules must be strictly enforced, to ensure that candidates are not unduly disturbed during an examination:

- Throughout the whole of the examination, silence must be maintained, except when requests for additional answer books etc are made. A candidate whose behaviour persistently disturbs other candidates may be excluded from the examination.
- Candidates may not bring food into the examination room except under approved medical conditions. Water is permitted, but all labels must be removed and the liquid inside must be clear.
- A candidate may not communicate in any way with any person other than an invigilator during the examination.
- No candidate may retain during the examination, any article such as a school bag etc, which is not required for the purpose of the examination. Such articles should be preferably not taken into the examination room. If they are, they must be left somewhere not easily accessible to the candidates, as directed by the senior invigilator, but remain the responsibility of the candidate.
- Any candidate in possession of a mobile phone or other mean of transmitting or receiving information in any form, including MP3 players etc must make sure that the device is switched off and any alarms turned off for the duration throughout the examination. Permitting such a device to make a sound, is in breach of regulations.
- Except in specified cases, candidates are not permitted to bring into the examination room any written notes or other materials, which would be of value in answering examination questions.
- Any form of cheating in examinations is malpractice and will be treated as a serious offence by the school and reported to the relevant Exam Board as malpractice.

### **Malpractice**

Wherever possible, the invigilator should remove and keep any unauthorised material that a candidate may have in the examination room.

The Exams Officer through the Principal must report all cases of suspected or actual malpractice. The Principal has the authority to expel a candidate from the examination room, if malpractice may have been committed and in other circumstances if regarded as essential by the Principal. This should only be done in exceptional circumstances or, if a candidate would disrupt other candidates by continuing to be in the examination room.

If candidates have committed malpractice, the awarding body may disqualify them or make them subject to other sanctions and penalties.

### **Emergencies**

The Senior Invigilator must take the following action in an emergency such as a fire alarm or a bomb alert at CATS College London or at approved locations such as the London Welsh Centre:

- Evacuate the examination room, taking the attendance register and seating plan in line with the instructions given by the appropriate authority.
- Make sure that all question papers and scripts are left in the examination room.
- Make sure that candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion of the examination.
- Make a note of the time of the interruption and how long it lasted.
- Allow the candidates the full working time set for the examination. Consider the possibility of taking the candidates, with examination papers to another place to finish the examination.
- Make a full report of the incident and of the action taken and send it straight to the awarding body within 7 days of the incident.

### **Finishing Examinations**

At the end of the examination, candidates should be told:

- To stop writing.
- Allow candidates who arrived late and have been permitted the full working time to do their examination, to continue after the normal finishing time and inform them to stop writing after the extra time allowed has passed.
- To make sure they have included necessary information on their scripts, including any loose sheets.
- Make sure their answers are correctly numbered.
- Fasten any loose answer sheets including supplementary answer sheets to the back of their answer booklet with a treasury tag. Paper clips or staples must not be used.
- When all scripts have been collected, the Senior Invigilator should instruct the candidates to leave the hall collecting their belongings on the way out.
- Once collected, scripts should be placed in the order shown on the Attendance Register and checked to ensure that all scripts are present and that candidates have used their correct candidate numbers.
- After collation, the scripts should be handed to the Exams Officer for despatch to the Awarding Body.

### **Administration and Packing and Sending of Scripts**

The Exams Officer is to ensure that:

- The correct envelopes provided by the appropriate awarding body are used. In exceptional circumstances when the appropriate awarding body's envelopes are unavailable, plain, unmarked and suitably secure envelopes may be used instead.
- The relevant attendance registers are sent with the scripts.
- Envelopes are fastened securely.
- Scripts are sent to the appropriate examiner without delay within one working day from the end of the examination.
- Scripts are kept securely if kept overnight.
- Packages are sent by parcel post, logging all parcels on the Exam Despatch Log obtaining a certificate of posting for each package. This certificate should be kept until results are published.
- All relevant seating plans, registers, exam details and any relevant notes are filed accordingly and retained until results have been received.

### **Planning and Managing Controlled Assessments**

All regulations from JCQ must be followed and will be overseen by relevant staff and the examinations officer who will ensure risks are managed effectively and maintain examination integrity.

### **GCSE Controlled Assessments - Outlining staff responsibilities**

#### **Senior Leadership Team**

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of key stage 4).
- Map overall resource management requirements for the year. As part of this resolve:
  - clashes/ problems over the timing or operation of controlled assessments.
  - issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- Ensure that all staff involved have a calendar of events
- Create, publish and update an internal appeals policy for controlled assessments.

#### **Curriculum Directors**

- Decide on the awarding body and specification for a particular GCSE.
- Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirement in accordance with the awarding body specification.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment.

- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

### Teaching staff

- Understand and comply with the general guidelines contained in the JCQ publication Instructions for conducting controlled assessments.
- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the exams office details of all unit codes for controlled assessments.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the appropriate special educational needs coordinator (SENCO) for any assistance required for the administration and management of access arrangements.

### Exams Office staff

- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute mark-sheets for teaching staff to use, and collect and send mark-sheets to awarding bodies before deadlines.
- On the few occasions where controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out, at the direction of the senior leadership team.
- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.

## Results, Certificates, Enquiries about Results (EARs) and Access to Scripts (ATS)

### Results

- Individual student results will be promulgated on Shackleton.
- All individual candidate statement of results (hard copy) received for the summer exams, will be sent by email to students only, unless the Exams Officer is requested to do otherwise. A parent, or agent, if authorised by the student, can receive the statement of results on behalf of the student. The college will not forward results to any other party.

### Certificates

- Certificates may be posted to students, upon request and will be despatched by recorded delivery for addresses within the UK and abroad unless a courier delivery is requested, the fees for which will be paid by the student.
- Certificates may not be collected on behalf of a candidate by a third party.
- Certificates may be withheld from students who owe fees.

### Enquiries About Results (EARs)

- EARs for general qualifications may be requested by the college or candidate, if reasonable grounds exist for such a request.
- If the College requests an EAR, they must obtain the candidate's permission and advise the candidate that the reviewed marks are final and increase or decrease.
- When the College does not uphold an EAR, a candidate may apply to have the enquiry. However, a candidate will be charged independently for this application.

### Access To Scripts (ATS)

- After the release of results, candidates may ask CDs to request the return of papers within 3 days.
- If a result is queried, the Exams Officer in conjunction with the CDs Head of Centre, will investigate the feasibility of asking for a re-mark at the candidate's expense.
- Centre staff may also request scripts for investigation or, for teaching purposes. For the latter, consent from the candidate must be obtained.

## Appeals Procedure

Awarding bodies accept appeals in relation to three areas of their work. These are:

- Appeals against results – when a centre is still dissatisfied with an examination result or results following the enquiries about results process.
- Appeals against malpractice decisions – following a decision to apply a penalty because of malpractice in an examination/assessment.
- Appeals against decisions made in respect of access arrangements and special consideration.

In addition, some administrative decisions, such as in cases of missing scripts, may be subject to review by awarding body officers. If there is any aspect of an awarding body's interpretation or

application of the procedures described in this document that a centre would wish to query or discuss, centres should not hesitate to contact the relevant awarding body appeals officer.

### **Fees**

Awarding bodies may charge a fee for each stage of an appeal against the outcome of an enquiry about results. Details of these fees can be obtained from the awarding body concerned. The fee will be refunded if the appeal is successful.

### **Appeals against the outcomes of enquiries about results**

If the head of centre or private candidate is dissatisfied with examination results and has reasons to suspect they may not be accurate, the first step to take is to make an enquiry about results. Full details of enquiries about results services are given in the JCQ publication Post-Results Services – Information and guidance to centres - [http://www.jcq.org.uk/exams\\_office/postresult\\_services](http://www.jcq.org.uk/exams_office/postresult_services)

If doubts about the accuracy of the results still persist, following the enquiry about results process, the head of centre or private candidate should refer initially to the regulator's Code of Practice and the JCQ publication Post Results Services – Information and guidance to centres. If, after consulting these documents, the centre or private candidate is convinced that the awarding body has not followed due procedures, it is possible to submit an appeal in line with the procedures set out here.

If an appeal is accepted, an investigation into the candidates' or centre's results, and the awarding body's procedures will follow. An appeal investigation does not generally involve a further review of candidates' work.

If an original script has been returned to the centre under the Access to Scripts arrangements, it cannot subsequently form part of an enquiry about results or an appeal.

### **Who Can Appeal**

Appeals are accepted from:

- heads of centres on behalf of single candidates or groups of candidates
- private candidates (that is, a candidate who pursues a course of study independently, but makes an entry and takes an examination at an approved examining centre)

Please note that appeals are not accepted from internal candidates and/or their parents or carers.

### **Appeals made against malpractice decisions**

Malpractice is a term used to describe all forms of irregularity or breaches of the regulations in examinations and assessments, e.g. plagiarism in coursework, the introduction of unauthorised material into the examination room or maladministration.

Awarding bodies' decisions on malpractice cases are based on an inter-board agreement which is reflected in the Joint Council for Qualifications (JCQ) publication Suspected Malpractice in Examinations and Assessment: Policies and Procedures. This booklet can be obtained from the JCQ website - [http://www.jcq.org.uk/exams\\_office/malpractice/](http://www.jcq.org.uk/exams_office/malpractice/)

Decisions in cases of suspected malpractice are usually made by a dedicated and trained team of officers at the relevant awarding body. In cases of serious malpractice the decision may be made by a committee of senior officers or an external committee.

Appeals may be initiated against a sanction imposed by the awarding body in cases of malpractice. It is not possible to appeal against a decision to take no further action.

### Who can appeal?

- Heads of Centres may appeal against sanctions affecting the centre or members of its staff (including contracted workers), and on behalf of candidates entered or registered through the centre.
- Members of the centre's staff or personnel contracted to a centre (e.g. external invigilators) may appeal against sanctions imposed on them.
- Private candidates (that is, a candidate who pursues a course of study independently but makes an entry and takes an examination at an approved examining centre) may appeal against sanctions imposed on them.
- Third parties who have been barred from taking examinations or assessments with an awarding body may appeal against that decision.
- Please note that internal candidates and/or their parents/carers are not entitled to appeal directly to the awarding body. Representations must be made to the head of centre where the candidate was registered. The Head of Centre's decision as to whether to proceed with an appeal is final.

### How to appeal

The head of centre, member of staff or private candidate should submit a written request for an appeal to the relevant awarding body. There is also a form (JCQ/App1) that may be used.

Appeals must be made within two calendar weeks of receiving the malpractice decision. Awarding bodies will reject appeals made outside of this timescale.

The head of centre, member of staff or private candidate submitting the appeal must set out as clearly as possible the grounds for the appeal and must submit any further evidence relevant to supporting the appeal.

Appeals must be based on reasonable grounds which relate to the incident in question. The following are accepted as reasonable grounds:

- the incident was not dealt with in accordance with the published procedures in the JCQ publication Suspected Malpractice in Examinations and Assessment;
- further evidence (including medical evidence) has come to light which changes the basis of the decision.

The following do not, by themselves, constitute grounds for an appeal:

- The individual did not intend to cheat.
- The individual has an unblemished academic record.

- The individual could lose a university place.
- The individual regrets his/her actions.

Awarding bodies reserve the right to refuse to accept an appeal application at this point if there is no further evidence to consider and if the grounds for the appeal are weak or unjustified.

### **Appeals relating to access arrangements and special consideration**

The awarding bodies recognise that there are some candidates who are prevented from demonstrating their achievement because of:

- a permanent or long-term disability, learning difficulty or medical condition;
- a temporary disability, illness or indisposition immediate to or at the time of the examination;
- English being a second or additional language;
- the immediate circumstances of the assessment.

Access arrangements are approved before an examination or assessment and are intended to allow attainment to be demonstrated.

Special consideration is given following an examination or assessment to ensure that a candidate who has a temporary illness, injury or indisposition or who is otherwise disadvantaged by the immediate circumstances of the examination is given some compensation.

Access arrangements and special consideration decisions are based on an inter-awarding body agreement. The principles and regulations governing access arrangements and special consideration decisions are set out in the JCQ publication Access Arrangements, Reasonable Adjustments and Special Consideration. Copies of this publication are distributed to centres each year by the JCQ and a copy can be found on the JCQ website:

[http://www.jcq.org.uk/exams\\_office/access\\_arrangements/regulationsandguidance/](http://www.jcq.org.uk/exams_office/access_arrangements/regulationsandguidance/)

If the head of centre/private candidate disagrees with the decision made, a written request setting out the grounds for a Stage 1 Appeal should be forwarded to the relevant awarding body. There is also a form (JCQ/App1) that may be used.

### **Who can appeal?**

Appeals are accepted from:

- Heads of Centres on behalf of a candidate or groups of candidates
- Private candidates (that is, a candidate who pursues a course of study independently but makes an entry and takes an examination at an approved examining centre)

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

### **How to appeal**

Before undertaking an appeal, it may help if the head of centre discusses the situation with the awarding body officers responsible for appeals. Such discussions will sometimes resolve the matter without recourse to appeal.

The appeal request must be made within 2 calendar weeks of receiving the original decision letter, and should set out the grounds for the appeal. This time scale is determined by the regulators and does not make allowance for the time the centre may be closed for holidays.

### **Review of administrative decisions**

During the processing of any examination series, circumstances arise that cause awarding bodies to make decisions that may affect a candidate's results. Where these decisions involve an element of judgement, they may be subject to a review by awarding body officers. Heads of centres who are concerned by any such administrative decisions should contact the relevant appeals manager to discuss their concerns.

The more common types of administrative decisions which may be subject to review are listed below. Please note that this list is not exhaustive and other types of administrative decisions may also be subject to review:

- Decisions taken in cases of very late arrival
- Decisions taken in cases of missing scripts
- Decisions involving the use of estimated marks
- Decisions taken in relation to extensions to result enquiries

## **Internal Assessments Appeals Procedure**

for Qualifications with English Awarding Bodies

In accordance with the Code of Practice for the conduct of external qualifications produced by the QCA, CATS London is committed to ensuring that:

- Internal Assessments are conducted by staff who have the appropriate knowledge, understanding and skills.
- Assessment evidence provided by candidates is produced and authenticated according to the requirements of the relevant Specifications for each subject.
- The consistency of Internal Assessment is assured through internal standardisation as set out by the Awarding Bodies.
- Staff responsible for internal standardisation and/or assessment attend any compulsory training sessions.

### **Written Appeals Procedure**

Each Awarding Body publishes procedures for appeals against its decisions, and the Examinations Officer will be able to advise students and parents of these procedures.

Appeals may be made to the College regarding the procedures used in Internal Assessment, but not the actual marks or grades submitted by the College for moderation by the Awarding Body.

A student or parent wishing to appeal against the procedures used in internal assessments should contact the Examinations Officer, as soon as possible to discuss the appeal, and a written appeal must be received by the School at least two weeks before the date of the last external exam in the subject.

On receipt of a written appeal, an enquiry into the Internal Assessment will be conducted by the Examinations Officer, and the Director of Studies. This enquiry will consider whether the procedures used in the Internal Assessment conformed to the published requirements of the Awarding Body.

The appellant will be informed in writing of the outcome of the appeal, including details of any relevant communication with the Awarding Body and of any steps taken to further protect the interests of the candidates.

**Statement for Students:**

“If at any stage during your exam courses you have concerns about the procedures used in assessing your internally marked work for public exams (e.g. coursework / portfolio / projects), you should see the Examinations Officer, as soon as possible”.

**Risk Assessment**

Cats London has identified potential risks relating to the administration and management of exams and make recommendations regarding the measures to take to prevent and manage these risks (next pages).

### Risk Assessment for examination procedure – Possible risks to include

Risk	Early warning	Control to prevent	Control to resolve
Invigilator does not turn up	Phone Call or scripts not collected	Invigilator timetables – sign tear off slip to confirm dates	On busy days employ emergency invigilator or EO to cover
Fire alarm goes off			Ensure invigilators are aware of policy. SLT to assist in maintaining security of exam. Allocate specific area for exams.
Student taken ill during exam			Invigilator aware of policy, first aider on call. Special Consideration for all students.
Bad weather or transport problems	Weather report	Possible delay to start of exam	Delay start, contact Exam board, 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	Reception rings students. If more than one student very late, put in separate room, contact CM for emergency invigilation
Students turn up who are not entered		Subject teachers/CDs ensure entry checklists are correct	Find a paper, seat them, amend attendance list and make entry. Charge late fee to department. If recurring problem see SLT.
Cheating in the room	Invigilator reports problem	Warning to candidate and information from invigilator	Invigilator aware of policy, SLT on-call to deal with malpractice issue
Disruption in the room	Invigilator reports problem	Warning to candidate and information from invigilators. Information from invigilators to EO re problem students in order to isolate.	Invigilator aware of policy, SLT on-call to deal with malpractice issues
Late arrivals	Phone call or just turn up late	Candidate timetable and information from tutors	Invigilator aware of policy. Complete Late arrivals form.
EO does not turn up	Phone call	Regular meetings with line manager	Line Manager to take over
Exam room flooded	Check room, or invigilator reports problem	Regular premises checks	Find alternative accommodation. Special Consideration

Risk	Early warning	Control to prevent	Control to resolve
Wrong entry made – incorrect paper		Subject teachers/CD's ensure entry checklists are correct	Contact Exam board 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	Line Manager to assume role and recruitment.
Curriculum model changes	Government white paper. Information from NAA and QCA, and Exam Board's		Planning and Action Plan to implement changes. Review of job description on yearly basis.
Damage to office		Regular premises checks	Need Exam Boards' handbooks, new equipment, phone line and office space. Copies of relevant information from CD's. Contact NAA field support for assistance.
System failure or power cut			Contact IT support or electrician and if necessary NAA field support officer for assistance. Contact Exam Board to inform entries will be late.
Receiving inaccurate or late entry information		Subject teachers/CD's ensure entry checklists are correct and on time.	Charge late fee to department. If recurring problem see SLT.
Change of syllabus and no notification	Pre-release material does not arrive. Materials arrive that are not expected.	Subject teachers/CD's ensure entry checklists are correct.	Contact Exam Board.
CD long term sick or leaves	Resignation or sick note.		Replacement to be nominated and EO to have input in training.
Exam Board communications systems fail	Papers do not arrive, on-line systems incorrect, difficult to contact by telephone.		Contact NAA to report problem. Give extra time for checking.

### Risk Assessment Form (for examination procedures)

<i>Department</i>	Person completing Assessment
Activities/Systems being assessed	Signature/Date

	Activity	Adverse occurrence /dependency	Adverse outcome	Likelihood 1 - 3	Severity 1 - 3	Level of risk (LxS)	Control measures	Person responsible	Results
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 Line Manager + 1 other; adequate instructions available	<ul style="list-style-type: none"> <li>EO</li> <li>Line Manager</li> <li>Head of centre</li> </ul>	
2	Computer malfunction	Exam entries, amendments cannot be made by EDI	Exam Board deadlines cannot be made	2	3	6	Notify IT Manager; 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	Unavailability of the London Welsh Centre, cannot use for exam	Some main exams held in here	Insufficient exam rooms may violate JCQ rules	2	3	6	Adequate fire alarms Contingency plans for spare rooms	<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	<ul style="list-style-type: none"> <li>EO</li> </ul>	

							advance – contact exam boards in good time		
6	Human error	Candidates entered for incorrect tier	Affects student grade	3	2	6	Check of procedure s by student (statement of entry) and staff (exam candidate lists) should avoid this	<ul style="list-style-type: none"> <li>• EO</li> <li>• CD</li> <li>• Student</li> </ul>	

## Risk Management for Coursework tasks

Example risks and issues	Possible remedial action		Staff ( <i>use 'RACI' to determine who should be listed</i> )
	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	SLT, EO
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	VP, CDs
<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	EO, CM, SLT
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		EO, CM, SLT
<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	EO, IT technicians
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	CDs, SLT
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	EO, SLT

Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		EO, PDs
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes N.B. retakes of controlled assessment are limited	EO, SLT
Control levels for task taking			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	EO, SLT
Supervision			
Student study diary/plan not provided or completed*	Ensure teaching staff/assessors are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	EO, CDS
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		EO
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.		EO, SLT

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

Example risks and issues	Possible remedial action		Staff ( <i>use 'RACI' to determine who should be listed</i> )
	<u>Forward planning</u>	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	SLT
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	CDs, SLT
<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	EO
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary	Take materials to secure storage	EO, CDs
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	EO, SLT

\*\* 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 ( <i>use 'RACI' to determine who should be listed</i> )
	<u>Forward planning</u>	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.	CDs
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 Exam Board deadlines	Seek guidance from awarding body	CDs, SLT

<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	CDs
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	CDs
<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	CDs
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.	CDs

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