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Copies in	Policies folder	Handbook	Student planner	Website
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*This policy has been written in conjunction with the College's Equality policy (Equality Act 2010)*

# Exams policy 2017/18

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by

J Foster/R Issa

**Controlled assessment policy template (2017/18)**  
Hyperlinks provided in this document were correct as at October 2017

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## Purpose of the policy

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently. This exam policy will ensure that:

- all aspects of the centre exam process is documented and other relevant exams-related policies, procedures and plans are signposted
- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities

- all exams and assessments are conducted in accordance with JCQ and awarding body regulations, guidance and instructions, thus ensuring that

*“... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute”* [JCQ  
[General regulations for approved centres<sup>1</sup>](#)]

- exam candidates understand the exams process and what is expected of them.

This policy is reviewed annually to ensure ways of working in the centre are accurately reflected and that exams and assessments are conducted to current JCQ (and awarding body) regulations, instructions and guidance.

This policy will be communicated to all relevant centre staff.

*This exams policy will be read and approved by the Head of Centre, SLT and Exams Officer.*

*This policy will be published and accessible to all staff at CHCC.*

## Roles and responsibilities overview

*“The head of centre is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to the instructions, and the qualification specifications issued by the awarding bodies.*

*The head of centre may not appoint themselves as the examinations officer.”* [GR1]

### Head of centre

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - [General regulations for approved centres](#)(GR)
  - [Instructions for conducting examinations](#)(ICE)
  - [Access Arrangements and Reasonable Adjustments](#)(AA)
  - [Suspected Malpractice in Examinations and Assessments](#)(SMEA)
  - [Instructions for conducting non-examination assessments](#) (NEA)
- Ensures the National Centre Number Register Annual Update (administered on behalf of the JCQ member awarding bodies by OCR) is responded to
- Ensures the exams officer (EO) attends appropriate training events offered by awarding bodies, MIS providers and other external providers to enable the exam process to be effectively managed and administered
- Ensures centre staff are supported and appropriately trained to undertake key tasks within the exams process

- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Ensures “that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the candidates preparation for the examination, **is not an invigilator during the examination or on-screen test;**”<sup>[ICE 6]</sup>
- Ensures security within the examination process is managed according to JCQ and awarding body regulations, guidance and instructions
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place

#### **Exam contingency plan-See Appendix 1**

*In the event of the absence of the exams officer or an unforeseen emergency, a robust exams contingency plan is written and in place. This document will minimise risk to examination administration.*

- Ensures required internal appeals procedures are in place

#### **Internal appeals procedures-See Appendix 2**

*Crown Hills CC have a written internal appeals policy, which is placed within the Exam Policy and made aware of to students/parents/carers and available on the school website.*

*CHCC keep all the forms in the exam office to have available for inspection purposes.*

- Ensures a disability policy showing the centre’s compliance with relevant legislation is in place

#### **Disability policy**

*The Equality Policy written by CHCC is accessible by all staff and on the school website*

- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments

#### **Access arrangements-see also Appendix 6**

*The college follows JCQ guidance and the SENCO who is the Colleges trained in house dedicated assessor completes all assessments*

*For BCS qualifications please see Appendix 6*

*“...with its obligations in respect of identifying the need for, requesting and implementing access arrangements.”*

<sup>[GR 5.5]</sup>



*“The centre agrees to... have a written process in place to not only check the qualification(s) of their specialist assessor(s) but that the assessment process is administered correctly;”*

[GR 5.4]

- Ensures staff are only entered for qualifications through the centre where entry through another centre is not available
- Ensures the appropriate steps are taken where a candidate being entered for exams is related to a member of centre staff

*“The **examinations officer or quality assurance co-ordinator** is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessments.”*

[GR 1]

#### **Exams officer**

- Understands the contents of annually updated JCQ publications including:  
[General regulations for approved centres](#)  
[Instructions for conducting examinations](#)  
[Suspected Malpractice in Examinations and Assessments](#)  
[Post-results services \(PRS\)](#)
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required

#### **Senior leaders (SLT)**

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:  
[General regulations for approved centres](#)  
[Instructions for conducting examinations](#)  
[Access Arrangements and Reasonable Adjustments](#)  
[Suspected Malpractice in Examinations and Assessments](#)  
[Instructions for conducting non-examination assessments](#)

#### **Special educational needs co-ordinator (SENCo)**

- Is familiar with the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:  
[Access Arrangements and Reasonable Adjustments](#)
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as ‘access arrangements’)
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and the administration of the assessment process

- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

#### **Head of department (HoD)**

- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo
- Ensures teaching staff keep themselves updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events

#### **Teaching staff**

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and SENCo
- Keep updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

#### **Invigilators**

- Attend training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them

#### **Reception staff**

- Support the EO in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials

#### **Site staff**

- Support the EO in relevant matters relating to exam rooms and resources

#### **Candidates**

Where applicable in this policy, the term 'candidates' refers to candidates and/or their parents/carers.

## **The exam cycle**

The exams management and administration process that needs to be undertaken for each **exam series** is often referred to as the **exam cycle** and relevant tasks required within this grouped into the following stages:

- planning
- entries

- pre-exams
- exam time
- results and post-results

This policy identifies roles and responsibilities of centre staff within this cycle.

## **Planning: roles and responsibilities**

### **Information sharing**

#### **Head of centre**

- Directs relevant centre staff to annually updated JCQ publications including [GR](#), [ICE](#), [AA](#), [SMEA](#) and [NEA](#)

#### **Exams officer**

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that has been updated
- Signposts relevant centre staff to JCQ information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

### **Information gathering**

#### **Exams officer**

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information on internal exams to enable preparation for and conduct of [insert the titles these internal exams are referred to in the centre]

#### **Head of department**

- Responds(or ensures teaching staff respond)to requests from the EO on information gathering
- Meets the internal deadline for the return of information
- Informs the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body

- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

## Access arrangements

### SENCo

- Assesses candidates (or works with the appointed access arrangements assessor) to identify access arrangements requirements thereby ensuring that
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **data protection notices** from candidates where required
- Applies for **approval** through *Access arrangements online* (AAO), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps relevant paperwork and evidence on file for JCQ inspection purposes
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s)
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

### Word processor

*The college follows guidance in the JCQ access and arrangements and the SENCO determines if using a word processor as a normal way of working is appropriate for candidates and therefore allowed in exams and CA unless prohibited by the specification. Parents are advised of this*

*The use of a word processor must reflect the candidate's normal way of working within the centre and be appropriate to the candidate's needs...*

[AA5.8]

- Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

## Separate invigilation within the centre

*Students with access arrangements and some students with an identified need may take exams in separate rooms. However, all exam rooms are treated equally with the same levels of invigilation and rules applied. All exam rooms have these rules displayed etc*

[See [AA](#) 5.16 plus centre-determined criteria]

### Senior Leaders, Head of department, Teaching staff

- Support the SENCo in identifying and implementing appropriate access arrangements

### Internal assessment

#### Head of centre

- Ensures an **internal appeals procedure** is in place for a candidate (or parent/carer) to appeal against an internal assessment decision (see Roles and responsibilities overview)
- Ensures a policy for the **management of controlled assessment** is in place for legacy GCSE qualifications, identifying staff responsibilities and examining potential risks

#### Policy for the management of controlled assessments

*The college follows the JCQ guidance for CA. [Instructions for conducting controlled assessments](#)*

- Ensures a **non-examination assessment policy** is in place for new GCE and GCSE qualifications

#### Non-examination assessment

The college follows the JCQ guidance for non-exam assessment [Instructions for conducting non-examination assessments](#)

The purpose of this policy, as defined by JCQ, is to

- *cover procedures for planning and managing non-examination assessments*
- *define staff roles and responsibilities with respect to non-examination assessments*
- *manage risks associated with non-examination assessments*

- Ensures irregularities are investigated and any cases of suspected malpractice reported to the awarding body, as required

#### Senior leaders

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work
- Ensure appropriate internal moderation, standardisation and verification processes are in place

#### **Head of department**

- Ensures teaching staff delivering legacy GCSE qualifications follow JCQ [Instructions for conducting controlled assessments](#) and the specification provided by the awarding body
- Ensures teaching staff delivering legacy GCE unitised AS and A-level qualifications and Entry Level or Project qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- Ensures teaching staff delivering new GCE & GCSE specifications follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body

#### **Teaching staff**

- Ensure appropriate instructions for conducting internal assessment are followed
- Ensure candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed

#### **Exams officer**

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment

#### **Invigilation**

##### **Exams officer**

- Provides an annual training event for new invigilators and an update event for invigilators in the conduct of exams
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are made aware of the Equality Act 2010 and are trained in disability issues
- Collects evaluation of training to inform future events

## Entries: roles and responsibilities

### Estimated entries

#### Exams officer

- Requests estimated or early entry information, where this may be required by awarding bodies, from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met

#### Estimated entries collection and submission procedure

*Exam Officer collects all the information from HODs via a proforma. All the information about the qualifications and estimated number of students to be entered is required by a given deadline.*

*Exam Officer submits this information to the exam boards.*

#### Head of department

- Provides information requested by the EO to the internal deadline
- Informs the EO immediately of any subsequent changes to information

### Final entries

#### Exams officer

- Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs HoDs of subsequent deadlines for making changes to final entry information without charge
- Confirms with HoDs final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies

#### Final entries collection and submission procedure

*EO sets up and provides staff with the appropriate marksheets for all their subjects.*

*Staff make the entries and, indicate tier of entry where appropriate.*

*HODs check all the entries are correct for their departments.*

*HODs sign the marksheets with any amendments and return the marksheets to EO.*

*EO submits the entries electronically via A2C to the appropriate exam boards.*

### **Head of department**

- Provides information requested by the EO to the internal deadline
- Informs the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
  - changes to candidate personal details
  - amendments to existing entries
  - withdrawals of existing entries
- Checks final entry submission information provided by the EO and confirms information is correct

### **Entry fees**

*All exam entry fees will be charged to the exam budget.*

*Any late fees and change of tier penalty fees will be charged to the departments.*

*Any new starters entry fees will be charged to the exam budget.*

### **Late entries**

#### **Exams officer**

- Has clear entry procedures in place to minimise the risk of late entries
- Charges any late or other penalty fees to departmental budgets

#### **Head of department**

- Minimises the risk of late entries by
  - following procedures identified by the EO in relation to making final entries on time
  - meeting internal deadlines identified by the EO for making final entries

### **Re-sit entries**

*Re-sits will be decided by the head of centre.*

*Re-sits will be charged to the exam budget.*

### **Private candidates**

*CHCC do not accept any private candidate entries.*



## **Transfer of credit**

### **Exams officer**

*“Arrangements for GCE AS candidates transferring between specifications or awarding bodies midway through a unitised GCE A-level course (having completed and certificated a GCE AS award)”*

[JCQ [GCE AS Transfer of Credit arrangements 2016/17](#)]

- Provides information to relevant centre staff/candidates on transferring credit for GCE AS qualifications
- Meets the awarding body deadline for requesting transfer of credit

### **Teaching staff**

- Identify affected candidates to the EO

## **Candidate statements of entry**

### **Exams officer**

- Provides candidates with statements of entry for checking

### **Teaching staff**

- Ensure candidates check statements of entry and return any relevant confirmation required to the EO

### **Candidates**

- Confirm entry information is correct or notify the EO of any discrepancies

## **Pre-exams: roles and responsibilities**

## **Access arrangements**

### **SENCo**

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it

- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments

### **Briefing candidates**

#### **Exams officer**

- Issues individual exam timetable information to candidates
- Issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - exam clashes
  - arriving late for an exam
  - absence or illness during exams
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - when and how results will be issued and the staff that will be available
  - the post-results services and how the centre deals with requests from candidates
  - when and how certificates will be issued

#### **Access to scripts, enquiries about results and appeals procedures-see Appendix 3 and 4**

*A separate document for appeals procedures and enquiries about results is distributed to all candidates, which requires them and parent/carers to sign and return the forms to say that they have read and understood the centres procedures for this. All the signed forms are kept as a binding contract in a file in the exams office. See Appendix 3*

*Also see separate BTEC Appeals Procedure See Appendix 4*

### **Dispatch of exam scripts**

#### **Exams officer**

- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE 'yellow label service' or the awarding body where qualifications sit outside the scope of the service

### **Estimated grades**

#### **Head of department**

- Ensures teaching staff provide estimated grade information to the EO by the internal deadline (where this still may be required by the awarding body)

#### **Exams officer**

- Submits estimated grade information to awarding bodies to meet the external deadline (where this may still be required by the awarding body)
- Keeps a record to track what has been sent

### **Internal assessment**

#### **Head of centre**

- Ensures procedures are in place for candidates to appeal an internal assessment decision or request a review of the centre's marking of an assessment (when a centre is required to make reviews available)

#### **SENCo**

- Liaises with teaching staff to implement appropriate access arrangements for candidates undertaking internal assessments

#### **Teaching staff**

- Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments
- Ensure candidates are informed of internal assessment decisions prior to marks being submitted to awarding bodies

#### **Head of department**

- Ensures teaching staff provide marks for internally assessed components of qualifications to the EO to the internal deadline
- Ensures teaching staff authenticate candidates' work to the awarding body requirements
- Ensures teaching staff provide required samples of work for moderation to the EO to the internal deadline

#### **Exams officer**

- Submits marks and samples to awarding bodies/moderators to meet the external deadline
- Keeps a record to track what has been sent
- Logs moderated work returned to the centre
- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work

#### **Candidates**

- Authenticate their work as required by the awarding body

## Invigilation

### Exams officer

- Provides an invigilation handbook or briefs invigilators accordingly
- Deploys invigilators effectively to exam rooms throughout an exam series
- Allocates invigilators to exam rooms according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

### SEnCo

- Liaises with the EO regarding facilitation and invigilation of access arrangement candidates

### Invigilators

- Provide information as requested on their availability to invigilate throughout an exam series

## JCQ inspection visit

### Exams officer or Senior leader

- Accompanies *“the Inspector **throughout** the course of his or her centre visit, including inspection of the centre’s secure storage facility.”* [ICE Introduction]

## Seating and identifying candidates in exam rooms

### Exams officer

- Ensures a procedure is in place to verify candidate identity including private candidates

#### Verifying candidate identity procedure

The candidates sitting any exams have an exam card with photo ID and name with candidate numbers displayed on all exam desks. They are also required to wear their ID badges. Each ID Badge has the candidate’s photograph and name.

Invigilators check candidates with their exam cards.

Invigilators are required to report any suspicious circumstances of verifying candidate identity to the SLT staff/EO present in the room.

- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements

### Invigilators

- Follow the procedure for verifying candidate identity provided by the EO
- Seat candidates in exam rooms as instructed by the EO/in the seating plan

### **Security of exam materials**

#### **Exams officer**

- Has a process in place to record confidential materials delivered to the centre and issued to authorised staff
- Has in place a recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential
- Receives, checks and securely stores question papers and other exam materials according to JCQ and awarding body requirements

#### **Reception staff**

- Follow the process to record confidential materials delivered to the centre and issued to authorised staff

#### **Teaching staff**

- Adhere to the recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential

### **Timetabling and rooming**

#### **Exams officer**

- Produces a master centre exam timetable for each exam series
- Identifies and resolve candidate exam clashes
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to JCQ and awarding body requirements
- Liaises with the SENCo regarding rooming of access arrangement candidates

#### **SENCo**

- Liaises with the EO regarding rooming of access arrangement candidates
- Liaises with other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

#### **Site staff**

- Liaise with the EO to ensure exam rooms are set up according to JCQ and awarding body requirements

## **Transferred candidate arrangements**

### **Exams officer**

- Liaises with the host or entering centre, as required
- Processes requests to the awarding body deadline
- Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

## **Internal exams**

### **Exams officer**

- Prepares for the conduct of internal exams under external conditions
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation

### **SENCo**

- Liaises with teaching staff to make appropriate arrangements for access arrangement candidates

### **Teaching staff**

- Provide exam papers and materials to the EO
- Support the SENCo in making appropriate arrangements for access arrangement candidates

## **Exam time: roles and responsibilities**

### **Access arrangements**

#### **Exams officer**

- Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements
- Has a process in place to deal with emergency access arrangements as they arise at the time of exams
  - applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

## **Candidate absence**

### **Candidate absence**

*Invigilators to pass information about missing candidates to the exam team asap*

*Exam team contact parents to inform them about the missing candidates from the exam, (as per absence procedures in the Attendance Policy), suggest getting to the centre as soon as possible.*

### **Invigilators**

- Are informed of the policy/process for dealing with absent candidates through training
- Ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

### **Candidates**

- Are re-charged relevant entry fees for unauthorised absence from exams

### **Candidate behaviour**

See *Irregularities* below.

### **Candidate belongings**

See *Unauthorised materials* below.

### **Candidate late arrival**

#### **Exams officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body as soon as practically possible after the exam has taken place
- Warns candidates that their work may not be accepted by the awarding body

#### **Invigilators**

- Are informed of the policy/process for dealing with late/very late arrival candidates through training
- Ensure that relevant information is recorded on the exam room incident log

### **Candidate late arrival**

The College follows guidance in the ICE booklet for candidates who arrive late. [\*Instructions for conducting examinations\*](#)

If a candidate arrives late, the invigilator should contact the EO.

The EO will then decide whether the candidate is given the full time etc, depending on how late the candidate is and if adequate supervision is available. If the candidate is very late, the

**Form JCQ/VLA-Report** will be completed and sent with the exam script.

For persistent late arrivals the EO will contact home to speak to parents, and a warning will be given to the candidate that he/she will not be given full time if he/she arrives late again.

## **Conducting exams**

### **Head of centre**

- Ensures venues used for conducting exams meet the requirements of JCQ and awarding bodies

### **Exams officer**

- Ensures exams are conducted according to JCQ and awarding body instructions
- Uses an *exam day checklist* to ensure each exam session is fully prepared for, unplanned events can be dealt and associated follow-up is completed

## **Dispatch of exam scripts**

### **Exams officer**

- Dispatches scripts as instructed by JCQ and awarding bodies
- Keeps appropriate records to track dispatch

## **Exam papers and materials**

### **Exams officer**

- Organises exam question papers and associated confidential resources in date order in secure storage
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or inbox for updates from awarding bodies

## **Exam rooms**



## Head of centre

- Ensures only approved centre staff are present in exam rooms
- Ensures information relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

### Food and drink in exam rooms

Candidates are only allowed to bring bottled water/juice into the exam. The candidates should ensure that all labels are removed from the bottles before entering the exam room.

No food will be allowed to be consumed during the exam.

## Exams officer

- Ensures exam rooms are set up as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis
- Ensures sole invigilators have an appropriate means of summoning assistance
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

## Senior leaders

- Ensure a documented emergency evacuation procedure for exam rooms is in place
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated

### Emergency evacuation policy-Appendix 5

*CHCC has a written Emergency Evacuation Policy and this is accessible to all staff and on the school website.*

This policy is included in the Invigilator's handbook, and covered in the invigilator's training.

## Site staff

- Ensure exam rooms are available and set up as requested by the EO
- Ensure grounds or centre maintenance work does not disturb exam candidates in exam rooms
- Ensure fire alarm testing does not take place during exam sessions

### **Invigilators**

- Conduct exams in every exam room as instructed in training/update events and briefing sessions

### **Candidates**

- Are required to remain in the exam room for the full duration of the exam

### **Irregularities**

#### **Head of centre**

- Ensures any cases of suspected malpractice (by centre staff, candidates, invigilators) are investigated and reported to the awarding body as required

#### **Senior leaders**

- Ensure support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms
- Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

#### **Exams officer**

- Provides an exam room incident log in all exam rooms for recording any incidents or irregularities
- Actions any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place

#### **Invigilators**

- Record any incidents or irregularities on the exam room incident log (for example, late/very late arrival, candidate or centre staff suspected malpractice, candidate illness, disruption or disturbance in the exam room, emergency evacuation)

### **Malpractice**

See *Irregularities* above.

### **Special consideration**

#### **Exams officer**

- Processes appropriate requests for special consideration to awarding bodies
- Gathers evidence which may need to be provided by other staff in centre or candidates
- Submits requests to awarding bodies to the external deadline

## Special consideration

*The College follows JCQ guidance for Special Consideration and completes requests with evidence to support where applicable.*

<http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance/a-guide-to-the-special-consideration-process-2016-2017>

### Candidates

- Provide appropriate evidence to support special consideration requests, where required

### Unauthorised materials

#### Arrangements for unauthorised materials taken into the exam room

Candidates are instructed to place all unauthorised materials if brought, within their non exam belongings. The candidates are instructed to leave all their belongings in the front/back or side of the room well away from the exam desks.

They are only allowed to take their exam stationery to the exam desks.

### Invigilators

- Are informed of the arrangements through training

### Internal exams

#### Exams officer

- Briefs invigilators on conducting internal exams
- Returns candidate scripts to teaching staff for marking

#### Invigilators

- Conduct internal exams as briefed by the EO

## Results and post-results: roles and responsibilities

### Internal assessment

#### Head of department

- Ensures teaching staff keep candidates' work, whether part of the moderation sample or not, secure and for the required period stated by JCQ and awarding bodies

- Ensures work is returned to candidates or disposed of according to the requirements

### **Managing results day(s)**

#### **Senior leaders**

- Identify centre staff who will be involved in the main summer results day(s) and their role
- Ensures senior staff are available for candidates as results are issued

#### **Site staff**

- Ensure the centre is open and accessible to centre staff and candidates, as required

### **Accessing results**

#### **Exams officer**

- Informs candidates in advance of when and how results will be released to them
- Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body
- Resolves any missing or incomplete results with awarding bodies
- Issues statements of results to candidates on issue of results date
- Provides summaries of results for relevant centre staff on issue of results date

### **Post-results services**

#### **Head of centre**

- Ensures **internal appeals procedures** are available where candidates disagree with the centre decision
  - not to support an enquiry about results
  - not to appeal against the outcome of an enquiry about results
 (Ofqual has announced a series of changes to reviews of marking and appeals which may affect the centre's internal appeals procedure during 2017/18)

#### **Exams officer**

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates* and *Access to scripts, enquiries about results and appeals procedures*)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and collect candidate informed consent and fees where relevant
- Submits requests to awarding bodies to meet the external deadline

- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

#### Teaching staff

- Meet internal deadlines to request the services and gain relevant candidate informed consent
- Identify the budget to which fees should be charged

#### Candidates

- Meet internal deadlines to request the services
- Provide informed consent and fees, where relevant

#### Analysis of results

##### The assistant principal James Foster

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the [secondary school and college \(key stage 4/16-18\) performance tables September checking exercise](#)

#### Certificates

Certificates are provided to centres by awarding bodies after results have been confirmed.

#### Issue of certificates procedure

*The EO will wait until all the certificates have arrived at the Centre from all the exam boards.*

*Once all the certificates have arrived, the exam team will collate them and inform candidates of a date and time to collect and sign for them. If certificates are not collected then these will be posted by registered certificate to the candidate's address on file.*

#### Review: roles and responsibilities

##### Exams officer

- Provides SLT with an overview of the exam year, highlighting what went well and what could be developed/improved in terms of exams management and administrative processes within the stages of the exam cycle
- Collects and evaluates feedback from staff, candidates and invigilators to inform review

##### Senior leaders

- Work with the EO to produce a plan to action any required improvements identified in the review

## Review: Quality Assurance Policy for the delivery of qualifications

- The College is committed to Quality Assurance and believes it is an integral part of the College's processes.
- The focus of the College is on candidates with the provision of relevant and flexible quality training programmes and assessment to suit their needs and lifestyles.
- Provision at Crown Hills is regularly monitored and reviewed by the Assistant Principal with responsibility for exams – James Foster
- Where required, the College has an Internal Verification process in place. This ensures that consistent testing and assessment standards are maintained by cross-marking.
- Where required, Internal Verification is carried out on an on-going basis.
- All cases of borderline achievement are Internally Verified.
- At least 10% of other assessments are checked across all markers and modules.
- Where a new marker is assessing, all work is double marked until the College Manager is satisfied with the standard.
- All new invigilators are observed conducting at least one assessment to ensure that regulations are followed.
- Existing invigilators are observed conducting an assessment at least once a year.
- Where required, Internal Verification is recorded on candidate work and records and on central recording systems.
- Information from the awarding body is disseminated to all members of staff involved in assessing via the Exams Officer – Rehana Issa
- The College has, monitors and follows a policy for Equal Opportunities

## Retention of records: roles and responsibilities

### Exams officer

- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy

- Provides an exam archiving policy that identifies information held, retention period and method of disposal

### **Exam archiving policy**

*All the archived documents are kept in the secure exam storage room, located via the exam office. These files are kept for five years. After this time all the archived documents are sent for confidential shredding.*

**Appendix 1 Contingency Plan**



Contingency Plan

**2017/18**

<b>Approved by</b>
Name: James Foster
Title: Assistant Principal





## Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the management and administration of the exam process at Crown Hills Community College. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by information contained in the Joint contingency plan for the *examination system in England, Wales and Northern Ireland*.

## Causes of potential disruption to the exam process

### 1. Exam officer extended absence at key points in the exam process (cycle)

#### Criteria for implementation of the plan

Key tasks required in the management and administration of the exam cycle not undertaken including:

- *Planning*
  - annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered
  - annual exams plan not produced identifying essential key tasks, key dates and deadlines
  - sufficient invigilators not recruited and trained
- *Entries*
  - awarding bodies not being informed of early/estimated entries which prompts release of early information required by teaching staff
  - candidates not being entered with awarding bodies for external exams/assessment
  - awarding body entry deadlines missed or late or other penalty fees being incurred
- *Pre-exams*
  - exam timetabling, rooming allocation; and invigilation schedules not prepared
  - candidates not briefed on exam timetables and awarding body information for candidates
  - exam/assessment materials and candidates' work not stored under required secure conditions
  - internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators
- *Exam time*
  - exams/assessments not taken under the conditions prescribed by awarding bodies
  - required reports/requests not submitted to awarding bodies during exam/assessment periods e.g. very late arrival, suspected malpractice, special consideration

- candidates' scripts not dispatched as required to awarding bodies
- *Results and post-results*
  - access to examination results affecting the distribution of results to candidates
  - the facilitation of the post-results services

Centre actions:

- Two members of the admin staff are trained in the exam process to ensure all the above criteria are met in the long term absence of the exams officer.
- Detailed systems are in place to support daily exam routines.
- Lead invigilator to liaise and support the centre for daily exam routines.

## 2. SENCo extended absence at key points in the exam cycle

Criteria for implementation of the plan

Key tasks required in the management and administration of the access arrangements process within the exam cycle not undertaken including:

- *Planning*
  - candidates not tested/assessed to identify potential access arrangement requirements
  - evidence of need and evidence to support normal way of working not collated
- *Pre-exams*
  - approval for access arrangements not applied for to the awarding body
  - modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
  - staff providing support to access arrangement candidates not allocated and trained
- *Exam time*
  - access arrangement candidate support not arranged for exam rooms

Centre actions:

- Two members of staff working in the SEN department are trained to deliver all the above criteria in the absence of the SENCo
- Work closely with the Exams Officer for support and guidance.
- An external agency would be used to test/assess to identify potential access arrangements requirements and the centre would liaise with partner schools.

### 3. Teaching staff extended absence at key points in the exam cycle

#### Criteria for implementation of the plan

- Key tasks not undertaken including:
- *Early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received*
- *Final entry information not provided to the exams officer on time; resulting in:*
  - *candidates not being entered for exams/assessments or being entered late*
  - *late or other penalty fees being charged by awarding bodies*
- *Internal assessment marks and candidates' work not provided to meet submission deadlines*

#### Centre actions:

- Head of Department and / or a member of the Senior Management Team would be used to deliver all the above criteria in the event of staff absence.

### 4. Invigilators - lack of appropriately trained invigilators or invigilator absence

#### Criteria for implementation of the plan

- *Failure to recruit and train sufficient invigilators to conduct exams*
- *Invigilator shortage on peak exam days*
- *Invigilator absence on the day of an exam*

#### Centre actions:

- Recruitment and training is done well in advance.
- The Exams Officer would ensure that the centre has more invigilators than the required minimum.
- The centre would re allocate internal staff to cover any shortfall.

### 5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice

#### Criteria for implementation of the plan

- Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning
- Insufficient rooms available on peak exam days
- Main exam venues unavailable due to an unexpected incident at exam time

#### Centre actions:

- The centre would reorganise classrooms to meet the above criteria.

### 6. Failure of IT systems

#### Criteria for implementation of the plan

- MIS system failure at final entry deadline

- MIS system failure during exams preparation
- MIS system failure at results release time

Centre actions:

- The Exams Officer and IT Manager would seek advice from the awarding body to arrange a solution.

**7. Disruption of teaching time – centre closed for an extended period**

Criteria for implementation of the plan

- Centre closed or candidates are unable to attend for an extended period during normal teaching or study supported time, interrupting the provision of normal teaching and learning

Centre actions:

- The Head of Centre and Senior Leadership Team would take the necessary action.
- The centre would liaise with parents, carers and students about the potential for disruption to teaching time and plans to address this.
- The centre would liaise with partner schools.

**8. Candidates unable to take examinations because of a crisis – centre remains open**

Criteria for implementation of the plan

- Candidates are unable to attend the examination centre to take examinations as normal

Centre actions:

- Consideration would be given on an individual basis as to why they were unable to attend the examination centre. Special consideration may be applied for.

**9. Centre unable to open as normal during the exams period**

Criteria for implementation of the plan

- Centre unable to open as normal for scheduled examinations

Centre actions:

- The centre would communicate with relevant awarding organisations at the outset to make them aware of the issue. The centre would communicate with parents, carers and candidates regarding solutions to the issue.
- Exams Officer and Head of Centre to explore alternative local venues, including liaising with partner schools.
- The centre will liaise with parents, carers and candidates regarding possible solutions.

**10. Disruption in the distribution of examination papers**

Criteria for implementation of the plan

- Disruption to the distribution of examination papers to the centre in advance of examinations

Centre actions:

- The Exams Officer would communicate with awarding bodies to organise alternative delivery of papers

### 11. Disruption to the transportation of completed examination scripts

Criteria for implementation of the plan

- Delay in normal collection arrangements for completed examination scripts

Centre actions:

- Exams Officer would liaise with the awarding bodies regarding alternative arrangements.
- The Exams Officer would keep the scripts securely stored in the exams office.
- The Exams Officer could arrange to transport them to the Post Office for collection by Parcelforce.

### 12. Assessment evidence is not available to be marked

Criteria for implementation of the plan

- Large scale damage to or destruction of completed examination scripts/assessment evidence before it can be marked

Centre actions:

- The Exams Officer would contact awarding bodies for advice.
- Special consideration would be considered.

### 13. Centre unable to distribute results as normal

Criteria for implementation of the plan

- Centre is unable to access or manage the distribution of results to candidates, or to facilitate post-results services

Centre actions:

- The Exams Officer would contact awarding organisations about alternative options.
- The centre would liaise with parents, carers and candidates regarding possible solutions.

# Complaints and appeals procedure (exams)

2017/1

This procedure is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Date of next review	Sept 2017

## Key staff involved in the complaints and appeals procedure

Role	Name(s)
Head of centre	Farhan Adam
SLT members	James Foster, Charlie Bailey
Exams officer	Rehana Issa

**Controlled assessment policy template (2017/18)**  
Hyperlinks provided in this document were correct as at October 2017

## Purpose of the procedure

This procedure confirms Crown Hills Community College compliance with JCQ's *General Regulations for Approved Centres 2017-2018, section 5.7* that the centre has in place "...a written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."

## Grounds for complaint

A candidate (or his/her/parent/carer) may make a complaint on the grounds below

### Teaching and learning

- ▶ Quality of teaching and learning, for example
  - ▶ Non-subject specialist teacher without adequate training/subject matter expertise utilised on a long-term basis
  - ▶ Teacher lacking knowledge of new specification/incorrect core content studied/taught
  - ▶ Core content not adequately covered
  - ▶ Inadequate feedback for a candidate following assessment(s)
- ▶ Pre-release/advance material/set task issued by the awarding body not provided on time to an exam candidate
- ▶ The taking of an assessment, which contributes to the final grade of the qualification, not conducted according to the JCQ/awarding body instructions
- ▶ The marking of an internal assessment, which contributes to the final grade of the qualification, not undertaken according to the requirements of the awarding body (complainant should refer to the centre's *internal appeals procedure*)
- ▶ Centre fails to adhere to its *internal appeals procedure*
- ▶ Candidate not informed of his/her centre assessed marks prior to marks being submitted to the awarding body
- ▶ Candidate not informed of his/her centre assessed marks in sufficient time to request/appeal a review of marking prior to marks being submitted to the awarding body
- ▶ Candidate not given sufficient time to review materials to make a decision whether to request a review of centre assessed marks

### Access arrangements

- ▶ Candidate not assessed by the centre's appointed assessor
- ▶ Candidate not involved in decisions made regarding his/her access arrangements
- ▶ Candidate did not consent to personal data being shared electronically (by the non-acquisition of a signed Data Protection Notice)
- ▶ Candidate not informed/adequately informed of the arrangements in place and the subjects or components of subjects where the arrangements would not apply
- ▶ Exam information not appropriately adapted for a disabled candidate to access it
- ▶ Adapted equipment put in place failed during exam/assessment

- ▶ Approved access arrangement(s) not put in place at the time of an exam/assessment
- ▶ Appropriate arrangements not put in place at the time of an exam/assessment as a consequence of a temporary injury or impairment

#### Entries

- ▶ Failure to clearly explain a decision of early entry for a qualification to candidate (or parent/carer)
- ▶ Candidate not entered/entered late (incurring a late entry fee) for a required exam/assessment
- ▶ Candidate entered for a wrong exam/assessment
- ▶ Candidate entered for a wrong tier of entry

#### Conducting examinations

- ▶ Failure to adequately brief candidate on exam timetable/exam regulations prior to exam/assessment taking place
- ▶ Room in which exam held did not provide candidate with appropriate conditions for taking the exam
- ▶ Inadequate invigilation in exam room
- ▶ Failure to conduct exam according to the regulations
- ▶ Online system failed during (online) exam/assessment
- ▶ Disruption during exam/assessment
- ▶ Alleged, suspected or actual malpractice incident not investigated/reported
- ▶ Eligible application for special consideration for a candidate not submitted/not submitted to timescale
- ▶ Failure to inform/update candidate on the outcome of a special consideration application

#### Results and Post-results

- ▶ Before exams, candidate not made aware of the arrangements for post-results services and the accessibility of senior members of centre staff after the publication of results
- ▶ Candidate not having access to a member of senior staff after the publication of results to discuss/make decision on the submission of an enquiry
- ▶ Candidate request for return of work after moderation and work not available/disposed of earlier than allowed in the regulations
- ▶ Candidate (or parent/carer) unhappy with a result (complainant to refer via exams officer to awarding body *post-results services*)
- ▶ Candidate (or parent/carer) unhappy with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal (complainant to refer via the exams officer to the centre's *internal appeals procedure*)
- ▶ Centre applied for the wrong post-results service/for the wrong exam paper for a candidate
- ▶ Centre missed awarding body deadline to apply for a post-results service
- ▶ Centre applied for a post-results service for candidate without gaining required candidate consent/permission



## Complaints and appeals procedure

If a candidate (or his/her parent/carer) has a general concern or complaint about the centre's delivery or administration of a qualification he/she is following, J Foster encourages him/her to try to resolve this informally in the first instance. If this is not resolved, a concern or complaint should be made in person, by telephone or in writing to Mr F Adam

If a complaint fails to be resolved informally the candidate (or his/her parent/carer) is then at liberty to make a formal complaint.

### How to make a formal complaint

- ▶ Crown Hills Community College's process –
- ▶ A complaint should be submitted in writing by completing a **complaints and appeals form**
- ▶ Forms are available from Ms R Issa (Examinations Officer)
- ▶ Completed forms should be returned to Mr F Adam
- ▶ Forms received will be logged by the centre

### How a formal complaint is investigated

- ▶ The head of centre will further investigate or appoint a member of the senior leadership team (who is not involved in the grounds for complaint and has no personal interest in the outcome) to investigate the complaint and report on the findings and conclusion]
- ▶ The findings and conclusion will be provided to the complainant within 7 working weeks]

### Appeals

Following the outcome, if the complainant remains dissatisfied and believes there are clear grounds, an appeal can be submitted.

- ▶ Any appeal must be submitted in writing by again completing a **complaints and appeals form**
- ▶ Forms received will be logged by the centre
- ▶ The appeal will be referred to the Chair of Governors for consideration
- ▶ The Chair of Governors will inform the appellant of the final conclusion in due course]







### **In the event of a case of malpractice, or plagiarism being suspected.**

You will be interviewed by the relevant subject teacher/head of department. You will have the opportunity to explain how the work was completed.

If Crown Hills Community College decides that a malpractice, or plagiarism has taken place the relevant piece of work will be void and cannot be submitted. At this stage you and your parents will be informed in writing that the work has not been submitted appropriately and that this is in breach of school and awarding body procedures.

If you accept that you have committed a malpractice, or plagiarism, then you will be given a chance to re-do the work in question. If you choose to re-do the work it will be marked by the relevant subject teacher when it is submitted. If it is considered to be appropriate then the new mark will be submitted to the Awarding Body. If the work is still considered not to be appropriate then it will be forwarded to the exams officer who will check the work again and confirm their findings with you. If it is considered satisfactory by the exams officer then the new mark will be submitted to the Awarding Body, if not then the Awarding Body will be informed in accordance with JCQ regulations

If you choose not to re-do the work then a mark of zero will be awarded for the work and the Awarding Body will be informed in accordance with JCQ regulations. If you disagree with this decision then you are entitled to make an appeal using the internal appeals procedure.

### **In the event of a case of malpractice, or plagiarism being reported to the JCQ.**

Students are entitled to make an appeal using the internal appeals procedure. Please note that internal candidates and / or their parents are not entitled to appeal directly to the awarding body. Representations must be made to the Principal.

### **Enquiries about Examination Results**

Enquiries about results may be requested by teaching staff or candidates if there are reasonable grounds for believing there may have been an error in marking.

If this is requested, the Examination Officer may agree that an appeal can be made at the centres expense.

If the Examinations Officer does not agree to an appeal, the candidate may decide to proceed, but, in this case, they will be charged for the cost of the appeal.

## Appendix 3 GCSE Contract Form - Enquiries & Appeals About Results

The Exams Contract is a very important document. Unless it is signed and returned to Ms R Issa the College's Examinations Officer, you will not be entered for any GCSE exams. A contract is an agreement. In this case, between the Leicester City Education Authority and you and your parents. The LEA agrees to pay all your exam entry fees. You and your parents agree that you will attend all the examinations for which you are entered.

**Candidate Number:**                      **Candidate Name:**

If your examination centre makes an enquiry about the result of one of your examinations after your subject grade has been issued, there are three possible outcomes:

- Your original mark is confirmed as correct, and there is no change to your grade
- Your original mark is raised so that your final grade may be higher than the original grade you received
- Your original mark is lowered so that your final grade may be lower than the original grade you received.

In order to proceed with the enquiry or appeal, you must sign the Internal appeals form. This tells the Head of your Centre, that you have understood what the outcome might be, and that you give your consent to the enquiry or appeal being made.

I understand that the fees paid in respect of my son/daughter's GCSE entries will be paid for by Crown Hills Examination budget provided that he/she completes **all the components of each examination** taken and is awarded a grade by the relevant examination board.

**I agree to pay any fees for examinations where this is not fulfilled** i.e. where a candidate is given a No Result as opposed to a grade when the results are published.

**Parent / Carer Signature** ..... **Date** .....

**Candidate Signature** ..... **Date** .....

**Controlled assessment policy template (2017/18)**  
Hyperlinks provided in this document were correct as at October 2017

# Internal appeals procedures

2017/18

These procedures are reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
J Foster/R Issa	
Date of next review	Oct 2018

## Key staff involved in internal appeals procedures

<b>Role</b>	<b>Name(s)</b>
Head of centre	F Adam
SLT members	J Foster, C Bailey
Exams officer	R Issa



## 1. Appeals against internal assessment decisions (centre assessed marks)

This procedure confirms [**Centre Name's**] compliance with JCQ's *General Regulations for Approved Centres 2017-2018, section 5.8* that the centre has in place "a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates" and that the centre "must inform candidates of their centre assessed marks as a candidate is allowed to request a review of the centre's marking before marks are submitted to the awarding body."

Certain components of GCSE and GCE qualifications (GCSE controlled assessments, GCE coursework, GCE and GCSE non-examination assessments) that contribute to the final grade of the qualification are internally assessed (marked) by the subject teacher. The marks awarded (the internal assessment decisions) are then submitted by the deadline set by the awarding body for external moderation.

### Deadlines for the submission of marks (Summer 2018 exam series)

Date	Qualification	Details
15/05/18	Product Design GCSE	
15/05/17	IT GCSE	
	OCR Nationals	Final date for submission of coursework marks (AQA, OCR, Pearson and WJEC)
	Btec 1 <sup>st</sup> Award Sport	
	Btec 1 <sup>st</sup> Award Music	
	Btec 1 <sup>st</sup> Award Perf Arts	

Crown Hills Community College is committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents.

Crown Hills CC ensures that all centre staff follow a robust *Non-examination assessment policy* (for the management of GCSE non-examination assessments). This policy details all procedures relating to non-examination assessments,

including the marking and quality assurance processes which relevant teaching staff are required to follow.

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

On being informed of their centre assessed marks, if a candidate believes that the above procedures were not followed in relation to the marking of his/her work, or that the assessor has not properly applied the mark scheme to his/her marking, then he/she may make use of this appeals procedure to consider whether to request a review of the centre's marking.

1. Crown Hills staff will ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
2. Crown Hills staff will inform candidates that they may request copies of materials (for example, a copy of their marked work, the relevant specification, the mark scheme and any other associated subject-specific documents) to assist them in considering whether to request a review of the centre's marking of the assessment.
3. Crown Hills staff will, having received a request for copies of materials, promptly make them available to the candidate within 3 working days.
4. Crown Hills staff will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.
5. Requests for reviews of marking **must** be made in writing within 3 days of receiving copies of the requested by completing the **internal appeals form** and returning it to Mr F Adam (Head of Centre)
6. Crown Hills staff will allow 3 days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline.
7. Crown Hills staff will ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous

involvement in the assessment of that candidate and has no personal interest in the review.

8. Crown Hills staff will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre.
9. The candidate will be informed in writing of the outcome of the review of the centre's marking.
10. The outcome of the review of the centre's marking will be made known to the head of centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the review of the centre's marking bring any irregularity in procedures to light, the awarding body will be informed immediately.

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

The procedure (in grey font) is quoted directly from the JCQ publication [Reviews of marking \(centre assessed marks\) suggested template for centres](#)

## **2. Appeals against the centre's decision not to support a clerical check, a review of marking, a review of moderation or an appeal**

This procedure confirms Crown Hills' compliance with JCQ's *General Regulations for Approved Centres 2017-2018*, section 5.14 that the centre has in place "a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal..."

Following the issue of results, awarding bodies make post-results services available. [insert how this works in your centre, for example - Full details of these services, internal deadlines for requesting a service and fees charged are provided by the exams officer].

Candidates are also informed of the arrangements for post-results services **before** they sit any exams and the accessibility of senior members of centre staff immediately after the publication of results by [insert your centre's process detailing how candidates are informed].

If the centre or a candidate (or his/her parent/carer) has a concern and believes a result may not be accurate, an enquiry about the result may be requested.

*Enquiries about results (EARs)* offers three services.

- ▶ Service 1 – clerical re-check
- ▶ Service 2 – review of marking
- ▶ Service 3 – review of moderation (this service is not available to an individual candidate)

Written candidate consent (informed consent via candidate email is acceptable) is required in all cases before a request for an EAR service 1 or 2 is submitted to the awarding body as with these services candidates' marks and subject grades may be lowered. Candidate consent can only be collected **after** the publication of results.

If a concern is raised about a particular examination result, the exams officer, teaching staff and head of centre will investigate the feasibility of requesting an enquiry supported by Crown Hills CC.

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

If the candidate (or his/her parent/carer) believes there are grounds to appeal against the centre's decision not to support an enquiry, an internal appeal can be submitted to the centre by completing the **internal appeals form** at least 7 days prior to the internal deadline for submitting an EAR.

The appellant will be informed of the outcome of his/her appeal before the internal deadline for submitting an EAR].

Following the EAR outcome, an external appeals process is available if the head of centre remains dissatisfied with the outcome and believes there are grounds for appeal. The JCQ publications *Post-Results Services* and *JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)* will be consulted to determine the acceptable grounds for a preliminary appeal.

Where the head of centre is satisfied after receiving the EAR outcome, but the candidate (or his/her parent/carer) believes there are grounds for a preliminary appeal to the awarding body, a further internal appeal may be made to the head of centre. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the *JCQ Appeals Booklet*. Candidates or parents/carers are not permitted to make direct representations to an awarding body.

The **internal appeals form** should be completed and submitted to the centre within 7 calendar days of the notification of the outcome of the EAR. Subject to the head of centre's decision, this will allow the centre to process the preliminary appeal and submit to the awarding body within the required **30 calendar days** of receiving the outcome of the enquiry about results process. Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer). If the appeal is upheld by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre.]

## Internal appeals form

Please tick box to indicate the nature of your appeal and complete all white boxes on the form below

- Appeal against an internal assessment decision and/or request for a review of marking
- Appeal against the centre's decision not to support a clerical check, a review of marking, a review of moderation or an appeal

FOR CENTRE USE ONLY	
Date received	
Reference No.	

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

**Please state the grounds for your appeal below**

*(If applicable, tick below)*

- Where my appeal is against an internal assessment decision I wish to request a review of the centre's marking

*If necessary continue on an additional page if this form is being completed electronically or overleaf if hard copy being completed*

**Appellant signature:**

**Date of signature:**

**This form must be signed, dated and returned to the exams officer on behalf of the head of centre to the timescale indicated in the relevant appeals procedure**

## Complaints and appeals log

On receipt, all appeals will be assigned a reference number and logged.

The outcome of any reviews of the centre's marking will be made known to the head of centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the review of the centre's marking bring any irregularity in procedures to light, the awarding body will be informed immediately.

Ref No.	Date received	Complaint or Appeal	Outcome	Outcome date



## Further guidance to inform and implement appeals procedures

### JCQ

- ▶ General Regulations for Approved Centres  
<https://www.jcq.org.uk/exams-office/general-regulations>
- ▶ Post-Results Services  
<https://www.jcq.org.uk/exams-office/post-results-services>
- ▶ JCQ Appeals Booklet  
<https://www.jcq.org.uk/exams-office/appeals>
- ▶ Notice to Centres - Reviews of marking (centre assessed marks)  
<https://www.jcq.org.uk/exams-office/controlled-assessments>  
<https://www.jcq.org.uk/exams-office/coursework>  
<https://www.jcq.org.uk/exams-office/non-examination-assessments>

### Ofqual

- ▶ GCSE (9 to 1) qualification-level conditions and requirements  
<https://www.gov.uk/government/publications/gcse-9-to-1-qualification-level-conditions>
- ▶ GCSE (A\* to G) qualification-level conditions and requirements  
<https://www.gov.uk/government/publications/gcse-a-to-g-qualification-level-conditions-and-requirements>
- ▶ GCE qualification-level conditions and requirements  
<https://www.gov.uk/government/publications/gce-qualification-level-conditions-and-requirements>
- ▶ Pre-reform GCE qualification-level conditions and requirements  
<https://www.gov.uk/government/publications/gce-qualification-level-conditions-for-pre-reform-qualifications>

## Appendix 5 BTEC Appeals Procedure

### Aims of this policy

- To enable the learner to enquire, question or appeal against an assessment decision
- To attempt to reach agreement between the learner and the assessor at the earliest opportunity
- To standardise and record any appeal to ensure openness and fairness.
- To facilitate a learner's ultimate right of appeal to the awarding body, where appropriate
- To protect the interests of all learners and the integrity of the qualification

### Our School Appeals Policy

We ensure that:

- Internal assessments are conducted by members of the teaching staff who have appropriate knowledge, understanding and skills in this area.
- Assessment evidence provided by candidates is produced and authenticated according to the requirements of the Awarding Body for the subject concerned.
- The consistency of internal assessment will be maintained by internal verification and standardisation.
- All student work being assessed by teaching staff for external qualifications is carried out fairly, consistently and in accordance with the rules and regulations of the specification relating to the qualification.

### Procedure

If you feel that your work has been inaccurately assessed you may use the Appeals Procedure which is on the school website. If you need any support completing it, please speak with your Assessor or Examination Officer.

BTEC Music	BTEC Performing Arts	BTEC Sport	All other qualifications
Mr R Allison	Ms F Bradshaw Mrs HM Boyce	Mr J Stretton / Mrs S Allen/Mrs L Newcome/Mr D Williams	Ms R Issa

Examination Officer(s)	
Ms R Issa	

Internal Verifiers		
BTEC Music	BTEC Performing Arts	BTEC Sport
Mr C Bailey	MR R Allison	Mr J Stretton

BTEC Quality Nominee
Mr C Bailey

### **Stage 1 Candidate (refer to appendix 1a)**

You must speak with your assessor and if an agreement cannot be met you must submit your appeal in Writing. You must complete the Stage 1 Internal Appeal Request form and hand it in to your assessor.

Normally this will be discussed immediately after you receive the assessment decision or within 2 working days. If you are unhappy with the outcome the appeal will be escalated to Stage 2.

### **Stage 2 Candidate & Assessor (refer to appendix 2a)**

The Assessor will consider your reasons and look again at your work. S/he must then give you an immediate response within 2 working days which must be:

- a) a clear explanation backed up with a written confirmation of the assessment decision and
- b) a new decision or confirmation of the original decision.

If you agree with the Assessor's response then the appeal stops at that point.

You must tell the Assessor if you are still unhappy with the decision whereupon your appeal will then be escalated to Stage 3.

### **Stage 3 Candidate, Assessor & Internal Verifier (refer to appendix 3a)**

If you are still dissatisfied after Stage 2, the Assessor will give the Internal Verifier the following information:

- a) the original assessment record and the candidate's evidence where appropriate
- b) the written explanation and confirmation of the assessment decision

The Internal Verifier will reconsider the assessment decision taking into account the following:

- a) the candidate's reason for appeal
- b) the candidate's evidence and associated records
- c) the assessor's reason for the decision
- d) the opinion the Internal Verifier

The Internal Verifier will meet with you and your Assessor and give you the reconsidered decision in writing within 5 working days of receiving the appeal. If you are unhappy with the outcome the appeal will be escalated to Stage 4.

#### **Stage 4 Candidate, Internal Verifier & BTEC Quality Nominee**

If you are still dissatisfied with the decision after stage 3 you have the right to appeal to the BTEC Quality Nominee.

The Internal Verifier who acted at stage 3 will pass the following details to the BTEC Quality Nominee within 24 hours of reaching stage 4:

- a) the written explanation and confirmation of the assessment decision
- b) the assessment record sheet(s)
- c) any written comments from the internal verifier

You will be asked if you wish to speak to the BTEC Quality Nominee. You may be represented or accompanied by a parent/ guardian or you may take a written submission. The Assessor who made the original decision will have a meeting with the line manager to answer any questions.

The matter will be discussed in private at this level and the decision will be given to you in writing within 5 working days of the meeting. At the same time the decision will also be given to the Assessor, recorded and kept with all documents relating to the appeal.

These records will be retained and made available to Pearson( Edexcel ) the Examination Board if necessary.

Pearson (Edexcel ) are not part of the appeals procedure; appeals are resolved internally within the centre.

If you believe your work has been unfairly or inaccurately assessed there is a set procedure that you must use.

**Stage 1:** Fill in the Internal Appeal Request Form and give it to your Assessor. Your form must state why you are appealing clearly.

Within 2 working days you must receive a response from your Assessor to this.

**Stage 2:** Meet with the Assessor to discuss the problem and try to negotiate a solution. Minutes of the meeting will be kept on student's file.

**Stage 3:** Meet with the Internal Verifier and your Assessor. Discuss the reason for appeal, and the minutes/outcome of the previous meeting. Reconsider the new outcome. Again minutes of the meeting will be kept on the student’s file.

**Stage 4:** If the problem is still not resolved you are entitled to meet with the appeals panel (You and/or your representative, the BTEC Lead IV and BTEC Quality Nominee). This will be a formally recorded meeting with minutes available. The decision reached at this point will be final.

## Appendix 1a: Internal Appeal Request Form

### Stage 1

Name of Student: ..... Candidate No: .....

Subject: ..... Module: .....

Name of Assessor: .....

Please give your reasons for requesting an appeal against the procedures used for the internal assessment .

.....  
.....  
.....  
.....

Please give details of the evidence being presented.

.....  
.....  
.....

**Signature of Candidate:** ..... **Date:** .....

Programme Leader aware of appeal grounds Yes/No

Quality Nominee aware of appeal grounds Yes/No

Outcome of re-assessment of work being appealed with reasons for decision:

.....  
.....  
.....

.....  
.....

**Signature of Assessor:** ..... **Date:** .....

Programme Leader Aware of Decision Yes/No

Candidate Aware of Decision Yes/No Yes/No

## Appendix 2a: Internal Appeal Request Form for BTEC

### Stage 2

Name of Student: ..... Candidate No: .....

Subject: ..... Module: .....

Name of Assessor: .....

Please give your reasons for requesting an appeal against the procedures used for the internal assessment .

.....  
.....  
.....  
.....

Please give details of the evidence being presented.

.....  
.....  
.....

**Signature of Candidate:** ..... **Date:** .....

Quality Nominee Aware the appeal reached Stage 2 Yes/No

Outcome of re-assessment of work being appealed with reasons for decision:

.....  
.....  
.....

.....  
.....

**Signature of Programme Leader:** ..... **Date:** .....

Programme Leader Aware of Decision Yes/No

Assessor Aware of Decision Yes/No

Candidate Aware of Decision Yes/No

## Appendix 3a: Internal Appeal Request Form for BTEC

### Stage 3

Name of Student: ..... Candidate No: .....

Subject: ..... Module: .....

Name of Assessor: .....

Please give your reasons for requesting an appeal against the procedures used for the internal assessment .

.....  
.....  
.....  
.....

Please give details of the evidence being presented.

.....  
.....  
.....

**Signature of Candidate:** ..... **Date:** .....

Members/roles of the Team:

.....  
.....  
.....  
.....

Outcome of re-assessment of work being appealed with reasons for decision:

.....  
.....  
.....  
.....  
.....

**Signature of Quality Nominee:** ..... **Date:** .....

Candidate Aware of Decision Yes/No

Yes/No

Date of Meeting with Head of Centre, Quality Nominee and Appellant(s): .....

Those Present:

.....  
.....  
.....  
.....

Candidate given a copy of appeals record

Yes/No

Examination Officer given a copy of appeals record

Yes/No

Need for Edexcel to be informed of appeal outcome

Yes/No



## Appendix 6 EMERGENCY EVACUATION PLAN

### School Policies

Policy title	Emergency Evacuation Policy				
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Written on	October 2013	Reviewed on	April 2016	Next review due	May 2017
SLT link	Dean Barnett		Governor link		

Copies in	Policies folder √	Handbook	√	Student planner	Website
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CROWN HILLS COMMUNITY COLLEGE

### **EMERGENCY EVACUATION PLAN**

A continuous ringing of the fire bells signals a fire alarm.

#### **IF YOU DISCOVER A FIRE**

- Immediately operate the nearest fire alarm point
- Arrange for someone to ensure the fire brigade has been alerted. This should be automatic on the fire bells sounding, but must be confirmed.
- Close all doors and windows around the source of the fire if possible, but only if this can be done safely. You must not endanger yourself.
- Leave the building by the nearest accessible exit and proceed to the Assembly Area

#### **ON HEARING THE ALARM**

**Controlled assessment policy template (2017/18)**  
Hyperlinks provided in this document were correct as at October 2017

- Immediately leave the building by **THE MOST DIRECT SAFE ROUTE**
- Close all doors as you leave but do not lock them. Ensure that students and others leave the building in a quiet and orderly manner
- **DO NOT USE THE LIFTS**
- **DO NOT STOP TO COLLECT PERSONAL BELONGINGS.**
- **DO NOT STOP TO COMPLETE 'NEARLY FINISHED' WORK**
- Make your way immediately to the Assembly Area
- Report to the Fire Brigade Officer or person in charge, any information relevant to the emerging situation such as:
  - The precise location of the fire (if known)
  - Whether any person normally working in the building is known to be absent or elsewhere
  - Which rooms have been successfully evacuated
- Await further instructions for safe return to work

## EVACUATION DRILL

**FIRE ALARM AND EMERGENCY EVACUATION IS DISTINGUISHABLE BY ONE CONTINUOUS**

**ALL STUDENTS, STAFF & VISITORS to congregate around the perimeter of the FIELD FACING T**

**Our priority is to ensure that:**

**All members of the school community are evacuated from the building calmly and safely. Evacuating the school building in the event of a fire alarm**

**SLT/Principal**

Overall responsibilities of staff and pupils  
**B Green (Principal)\*** > Overall responsibility for evacuation and return to school when it has been e

**Co-coordinator responsibilities**

**Year 11** > registers are complete, tutors present and report to **Key Stage Leader (S Owen)** who in t  
 pupils are present.

**Year 10** > registers are complete, tutors present and report to **Key Stage Leader (S Owen)** who in t  
 that all staff and pupils are present.

**Year 9** > registers are complete, tutors present and report to **Key Stage Leader (H Patel)** who in tur  
 pupils are present.

**Year 8** > registers are complete, tutors present and report to **Key Stage Leader (H Patel)** who in tur  
 pupils are present.

**Year 7** > registers are complete, tutors present and report to **Key Stage Leader (K Pritchard)** who in  
 pupils are present.

**Senior Staff**

**L Roberts, S Mally, D Dobney & N Mohammed** report to **J Foster** and then **support Year 11 tutors**  
 students.

**P Longman, H Shaw, J Hallett, G Ramos** report to **TBC** and then **support Year 10 tutors** with superv

**E Hewitt, R Allison A Tonkin** report to **R Hill** and then **support Year 9 tutors** with supervision of cor

**A Tong, J Stretton, N Brown** report to **D Keast** and then **support Year 8 tutors** with supervision of c

**M Pantling, F Preston, L Glasby, & S Duis** report to **TBC (Thursday Cover – K Pritchard)** and then s  
 congregated students.

**Note: \*C Bailey** to cover any Senior Staff Absence. In the event that **B Green** is absent, **C Bailey** to t

**Controlled assessment policy template (2017/18)**  
 Hyperlinks provided in this document were correct as at October 2017

If there is no absence **C Bailey** to support Senior Colleagues.

**ALL SLT TO CARRY TWO WAY RADIO – CH1**

**Form Tutors**

**Form tutors** should make their way with their teaching class to the allocated congregation point. They must collect their form group register from one of the **Office Staff**. They must then wait for their form to arrive, if the class is not already there. Line students up correctly in alphabetic order of the register. Take the register and report to their respective Year Head that the pupils are all present.

The pupils must then be kept **silent** until all staff and pupils have been reported as safe and present.

After the emergency is over and if it is safe to re-enter the building, the form tutor must accompany and head them off towards their appropriate lesson.

Any pupil misbehaving at any time while under supervision of the form tutor must be reported to the particular Year.

**Non-form tutors**

**Non-form tutors** who are teaching a class, accompany that class to the muster point for the particular Year. They must make sure that the pupils are placed in the correct area for checking by form tutors.  
**Remain calm and quiet > Lead by example**  
**J Foster, D Keast, R Hill to report to B Green everyone present via radio**

**Student Teachers** – to report to C Marvin.

**Cover Supervisors**

**Cover Supervisors** – to report to C Marvin. Who in turn reports to **D Barnett**.

**Support Staff**

**Support Staff** congregate against appropriate location number on the ground. Key members of the Support Staff must collect relevant registers from **D Barnett**, check registers and report to C Marvin.

**ALL Staff once registered to assist Form Tutors.**

**TA's**

**TA's** must then report to **Sarah Bunce / Connie Francis** to be registered as present and accounted for. **Once accounted for all TA's must support the student or Class they are attached to when first evoked. support Yr 7 students congregated.**

They should also assist with the smooth re-entry into the building of pupils ensuring that no one misses a class.

**Visitors**

**C Patel** check visitors (book/list from reception) report to **D Barnett** once having checked that all are accounted for visitors to the school at time of evacuation.



Emergency services informed of pupils' locations if they are still in the building

Staff should escort their pupils out of the classroom **using the nearest available exit.**

Staff **should not stop** to pick up outdoor coats but should escort pupils out of the building in an orderly fashion.

Staff should accompany their pupils to the muster point **keeping them in their sight at all times.**

All members of the school should exit the building **by the nearest means possible and under no circumstances until told to do so by B Green.**

Treat every alarm bell seriously even if you are expecting one.

Remember **our first priority is to get the children and ourselves out of the building** as fast as possible.

## EXAMS

### **Emergency Evacuation Arrangements for Exam Candidates:**

The lead invigilator must explain briefly the procedure and escape route at the start of each exam.

The lead invigilator should make a note on the record of invigilation sheet of any student who would require evacuation of the exam room and make sure that there will be someone to call upon to assist with the evacuation.

If the fire alarm sounds, students must stop working and sit in silence.

The time will be noted on the record of invigilation sheet.

An invigilator will contact reception to ask if the exam hall needs to be evacuated.

If evacuation is not necessary, the exam can be restarted when the alarm has stopped. A note of the time on the invigilation sheet by the lead invigilator. Candidates should get the full amount of time.

If evacuation is necessary, students should leave in silence with the invigilators using the safest route. Registers and seating plans should be removed from the exam room.

No bags are to be collected.

An invigilator must check that all students present have evacuated the building.

Invigilators will escort the candidates to the assembly point keeping students apart as much as possible. At the assembly point students will be registered in the area.

The exam room must be secured and the students informed that exam conditions still apply whilst they are in the assembly area.

The separate congregation area for exams will be located on the stone area at the rear of the CLAS building.

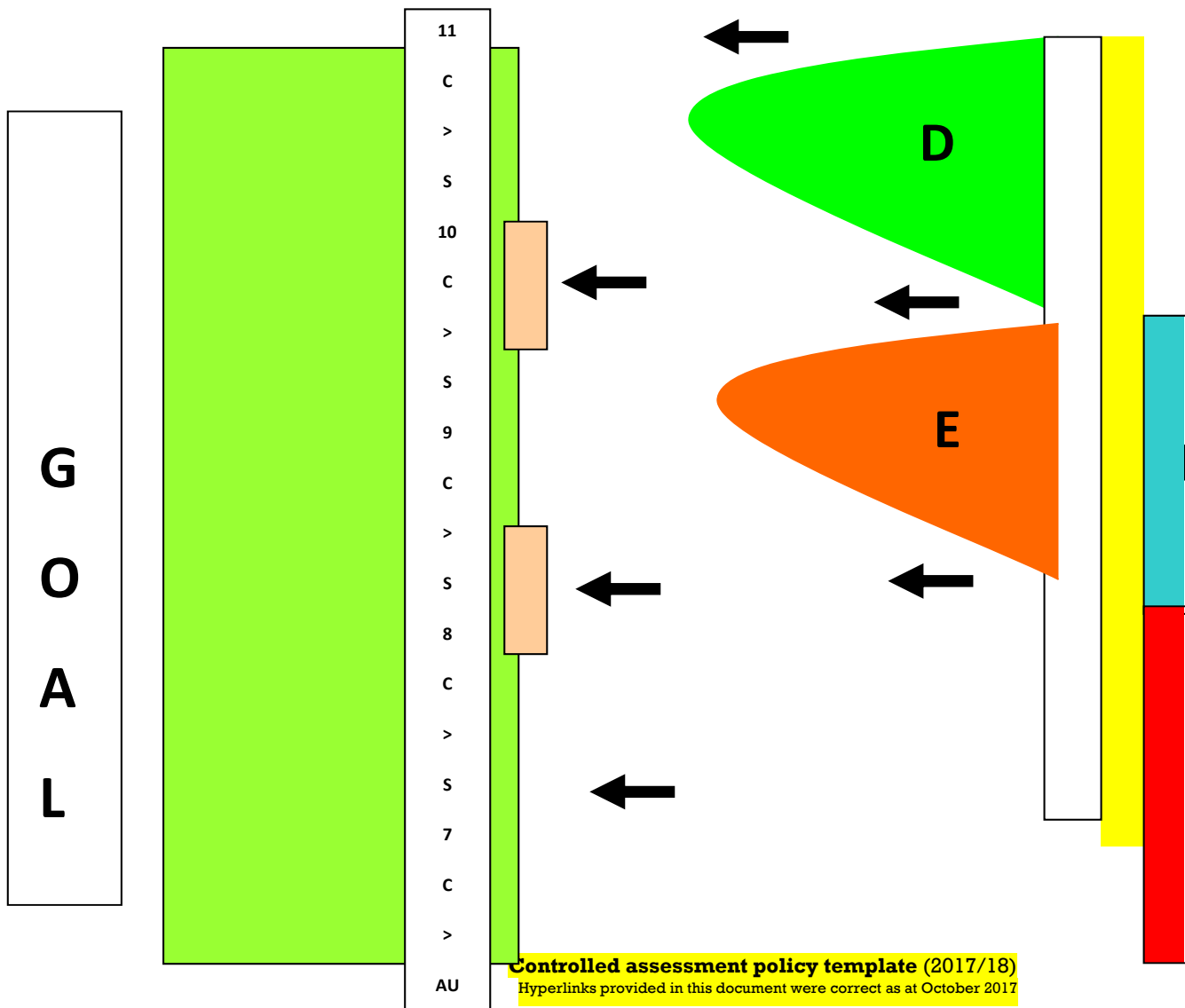
Students must adhere to a no talking, conversing or interacting policy at all times.

If students are allowed to re-enter the building to finish the exam, the time should be noted on the record of invigilation sheet.

invigilator. Candidates should get the full amount of time.

If students are not allowed to re-enter the building, the exams officer will apply for special consideration for the exam.

All staff should assist in keeping the pupils quiet during any evacuation.





# Policy for the management of controlled assessments

2017/18

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Jfoster/R issa	
Date of next review	Oct 2018



## **Contents**

Purpose of the policy

Staff responsibilities in planning and managing GCSE controlled assessment  
(legacy GCSE qualifications)

Risk management process

## Purpose of the policy

This purpose of this policy is to:

- *identify staff responsibilities in planning and managing GCSE controlled assessments;*  
[Taken from JCQ [GCSE controlled assessments - Outlining staff responsibilities \(editable template\)](#)]
- *examine potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions.*  
[Taken from JCQ [GCSE controlled assessments - Risk management process \(editable template\)](#)]

This policy complies with JCQ's 2017/18 [General Regulations](#) 5.8 in that the centre is required to “*have in place, and be available for inspection purposes, a **written** policy with regard to the management of GCSE controlled assessments*”.

This policy does not cover specific [instructions for conducting controlled assessments](#) which are provided by JCQ and awarding bodies.

## Outlining staff responsibilities - GCSE controlled assessments

### Senior leadership team

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments are spread throughout the academic years of Key Stage 4.)
- Map overall resource management requirements for the academic year. As part of this resolve:
  - clashes/problems over the timing or operation of controlled assessments;
  - issues arising from the need for particular facilities (rooms, IT networks, time out of school etc);

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

### Heads of department/faculty

- Decide on the awarding body and specification for a particular GCSE.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers fully understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers fully understand the requirements of the awarding body's specification, are familiar with the relevant teachers' notes **and** any other subject specific instructions.
- Where appropriate, develop new assessment tasks or adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body's specification and control requirements.

Please note: this document is illustrative only

2

### Teaching staff

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body's specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the exams office details of all unit codes for controlled assessments.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.

**Controlled assessment policy template (2017/18)**  
Hyperlinks provided in this document were correct as at October 2017

- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to candidates as the specification allows.
- Ensure that candidates and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark scheme provided by the awarding body. Submit marks to the awarding body by the published deadline, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the appropriate special educational needs coordinator (SENCo) for any assistance required for the administration and management of access arrangements.

### Exams office staff

- Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute marksheets for teaching staff to use.
- **In exceptional circumstances** where controlled assessments cannot be conducted in the classroom, arrange suitable accommodation where controlled assessments can be carried out at the direction of the senior leadership team.

### Special educational needs coordinator/additional learning support

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

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
Controlled assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. at the start of the academic year)	Plan dates in consultation with school calendar – negotiate with other parties	(insert names)
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates some time between them	
<b>Accommodation</b>			
Insufficient space in classrooms for candidates	Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments	Use more than one classroom or multiple sittings where necessary	
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		

This template is provided for members of The Exams Office **only** and must not be shared beyond use in your centre


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
Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the controlled assessment schedule	HoF, Staff
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	HoF
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	Update curriculum map with alternate sessions	HoF

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Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Control levels for task taking</b>			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	Exams officer, HoF,

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<b>Supervision</b>			
Student study diary/plan not provided or completed*	Ensure teaching staff are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	HoF
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments	Plan training session for all staff involved	Exams officer, HoF
A suitable supervisor has not been arranged for an assessment where teaching staff are <b>not</b> supervising	A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the awarding body's specification	Exams officer to timetable staff	Exams officer, cover manager

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

Please note: The risks and issues included in this template are illustrative only

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Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Task setting</b>			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification**	Seek guidance from the awarding body	HoF
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	HoF
<b>Security of materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the awarding body to request/obtain different assessment tasks	HoF
Candidates' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's	Seek guidance from the awarding body	HoF

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	requirements, for each department as necessary		
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Exams officer, HoF

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

**Please note: The risks and issues included in this template are illustrative only**

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 and the penalties for not meeting them	Mark what candidates have produced by the deadline  Seek guidance from awarding body on further action	HoF, exams officer

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Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines)	Seek guidance from awarding body	HoF, SLT, exams officer
<b>Authentication</b>			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign  Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking	Find candidate and ensure authentication form is signed	HoF
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature  Ensure authentication forms are signed as work is marked	HoF, exams officer

**Please note: The risks and issues included in this template are illustrative only**

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Example risks and issues	Possible remedial action		Staff
	Forward planning	<i>Action</i>	
<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	<p>Ensure appropriate training and practicing of marking</p> <p>Plan for sampling of marking during the practice phase</p>	<p>Arrange for re-marking</p> <p>Consult the awarding body's specification for appropriate procedures</p>	HoF
Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation, i.e. when and how this activity must be conducted	Check with the awarding body whether a later standardisation event can be arranged	SLT, exams officer

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Appendix 8

# Exams archiving policy

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**Exams archiving policy template (2017/18)**  
Hyperlinks provided in this document were correct as at August 2017

2017/18

This policy is annually reviewed to ensure that records are archived/retained in accordance with current requirements

Approved/reviewed by	
J Foster/R Issa	
Date of next review	OCT 2018

## Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	<b>Rehana Issa</b>
Exams Officer line manager (Senior Leader)	<b>James Foster</b>
Head of centre	<b>Farhan Adam</b>
SENCo	<b>Louise Glasby</b>
Finance Manager	<b>Chandrika Patel</b>
IT Manager	<b>Charlie Bailey</b>
Head of Department(s)	

## Purpose of the policy

The purpose of this policy is to:

- ▶ identify exams-related information/records held by the exams office

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- ▶ identify the retention period
- ▶ determine the action required at the end of the retention period and the method of disposal
- ▶ inform or supplement the centre-wide records management policy



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to SENCo as records owner at end of the candidate's final exam series.	
Attendance register copies		To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference <a href="#">ICE</a> 6,15]	Confidential waste/shredding
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	To be immediately returned to subject staff as records owner.  To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series. [Reference <a href="#">GR</a> 3, 5]	Returned to candidates or safe disposal
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. [Reference <a href="#">GR</a> 5]	Confidential destruction



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction. [Reference <a href="#">GR 5</a> ]	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	[Reference <a href="#">GR 5</a> ]	
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.		
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.		
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <a href="#">DfE (Standards &amp; Testing Agency) yellow label service</a>		
Entry information	Any hard copy information relating to candidates' entries.		
Exam question papers	Question papers for timetabled written exams.	Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam.	



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p>Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.</p> <p>[Reference <a href="#">ICE</a> 16 and <a href="#">GR</a> 5,6]</p>	
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	<p>To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p> <p>[Reference <a href="#">ICE</a> 6]</p>	
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.		
Exam stationery		<p>When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of.</p> <p>[Reference <a href="#">ICE</a> page 4 and <a href="#">ICE</a> 23]</p>	Confidential disposal
Examiner reports		To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilation arrangements	See <i>Exam room checklists</i>		



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	
Moderator reports		To be immediately provided to head of department as records owner.	
Overnight supervision information	Copy of JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes for the relevant exam series.	
Post-results services: confirmation of candidate consent information	Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body	EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal.  ATS consent to be retained for at least six months from the date consent given.  [Reference <a href="#">PRS 4</a> , appendix A and B]	
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.		
Post-results services: scripts provided by ATS service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the awarding body/copies downloaded by the	Where copies of scripts are retained by the centre, they must be securely stored (including	Confidential disposal



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	centre where the awarding body provides online access to scripts.	any electronic versions) until they are no longer required. [Reference <a href="#">PRS 6</a> ]	
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.		
Private candidate information	Any hard copy information relating to private candidates' entries.		
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.		
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.		
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum. [Reference <a href="#">Records Management Toolkit for Schools</a> ]	
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference <a href="#">ICE 6</a> ]	



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Evidence supporting an on-line special consideration application and evidence supporting a candidate's absence from an exam must be kept until after the publication of results.  [Reference <a href="#">SC 6</a> ]	
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.		
Transfer of credit information	Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate.	To be retained until the issue of the GCE A level result for the candidate.	
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	To be retained until the transfer arrangements are confirmed by the awarding body.	
Very late arrival reports/outcomes	Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body.		