



Cathedral Academy

Policy: Examination Policy

Date or review: March 2018

Date of next review: March 2021

Lead professional: The Exams Officer

Status: Statutory

Name of Exams Officer: Ludmila Houston

Note:

This policy is part of a suite of policies which comprise the:

1. Examination Policy, which includes emergency evacuation protocols
2. Non-Examination Policy
3. Examination Contingency Policy
4. Malpractice, Maladministration and Plagiarism Policy

1. Purpose of policy and guiding principles

- 1.1. The purpose of this exam policy is:
 - to ensure the planning and management of exams is conducted efficiently and in the best interest of candidates
 - to ensure the operation of an efficient exam system with clear guidelines for all staff.
- 1.2. In each academy within Trinity MAT there will be an appointed 'Exams Officer' this role may undertake other duties, but will report to a Senior Leader and be responsible for the administration and management of the exams processes.
- 1.3. In each academy within Trinity MAT there will be an appointed Senior Leader who has within their duties and responsibilities management of the exams processes.
- 1.4. It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.
- 1.5. The head of centre, senior leadership team and Exams Officer will review the exam policy every three years.
- 1.6. This policy acts as a guide to marking and assessment to ensure a consistency of approach throughout this academy. The exams policy contains a number of appendices:
 - **Appendix 1** - Procedure for Emergency Evacuation
 - **Appendix 2** - Procedure for Identifying Candidates in Exams
 - **Appendix 3** - Word Processor policy
 - **Appendix 4** - Appeals against Internal Assessments of work
 - **Appendix 5** - Risk management process

2. Roles and responsibilities

2.1. Within this policy there are key roles and their areas of responsibility are noted below.

2.2. Senior Leader responsible for Exams

This is usually an Assistant or Vice Principal. They have overall responsibility and will:

- advise on appeals and review of marking
- authorise any remarks recommended by Curriculum Leaders
- have responsibility for reporting all suspicions or actual incidents of malpractice
- meet the requirements of the Equalities Act.

2.3. Exams Officer

They are responsible for:

- managing the administration of public and internal exams
- advising all relevant staff on exam timetables and entry procedures
- communicating regularly with staff and students concerning imminent deadlines
- ensuring that candidates and their parents are informed of exam entries and times
- ensuring that coursework is dispatched on time and in accordance with JCQ guidelines
- providing and confirming detailed data on estimated entries
- receiving, checking and storing securely all exam papers and completed scripts
- administering access arrangements and making applications for special consideration under the instruction of the SENCo, using the JCQ publications access arrangements
- identifying and managing exam timetable clashes
- accounts for income and expenditure relating to all exam costs/charges (although in some academies within the trust, this function may be the responsibility of the Finance & Operations Manager)
- organising the recruitment, training and monitoring of a team of invigilators
- submitting candidates' coursework marks, tracking despatch and storing returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule
- arranging for dissemination of exam results and certificates to candidates and forwarding, in consultation with the SLG, any appeals/re-mark requests
- maintaining systems and processes to support the timely entry of candidates for their exams
- the receipt, safe storage and safe transmission of confidential materials.

- 2.4. The Data Manager (N.B. In some academies within the trust, this role is shared. Please refer to local academies re: roles and responsibilities)
They are responsible for:
- preparing and presenting reports to the SLG showing results achieved in relation to expected grades and comparable data for previous years, indicating where future procedural improvements might be made
 - liaising with the SENCo to ensure accurate exchange of information relating to candidates with access arrangements
 - analysis of exam results.
- 2.5. The Senior Leader responsible for the curriculum
They are responsible for:
- organisation of teaching and learning
 - external validation of courses followed at Phase 2/post-16
 - guidance and careers information. (N.B. in some academies within the trust, this role may be assumed by an Assistant or Vice Principal)
- 2.6. Department/Curriculum Leaders
They are responsible for:
- guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries
 - involvement in post-results procedures
 - accurate completion of coursework mark sheets and declaration sheets
 - accurate completion of entry and all other mark sheets and adherence to deadlines as set by the Exams Officer
 - ensuring that at least 40% of overall controlled assessment is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirements
 - standardising internally the marking of all teachers involved in assessing an internally assessed component
 - ensuring teachers understand their responsibilities with regard to controlled assessment.
- 2.7. Teachers
They are responsible for:
- notification of access arrangements requirements as soon as possible after the start of the course
 - submission of candidates' names to heads of department/faculty
 - understanding and complying with guidelines for conducting controlled assessments
 - supervising assessments, ensuring that authentication forms are completed, marking internally assessed components and submitting marks through the exams office
- 2.8. SENCo
The SENCo is responsible for:
- identification of candidates' requirements for access arrangements and testing of candidates with access arrangement requirements
 - provision of additional support – with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment – to help candidates achieve their course aims
 - working with teaching staff to ensure requirements for support staff are met.
- 2.9. Invigilators
Lead invigilator/invigilators are responsible for:
- collection of exam papers and other material from the exams office or Exams Officer before the start of the exam
 - collection of all exam papers in the correct order at the end of the exam and their return to the exams office.
 - conducting exams in accordance with JCQ regulations.
- 2.10. Candidates
Candidates are responsible for:
- understanding coursework regulations and signing a declaration that authenticates the coursework as their own.

3. Qualifications

- 3.1. The centre offers a wide range of qualifications as decided by the Principal, Vice Principal, Assistant Principal and Curriculum Leaders.
- 3.2. The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. Where there has been a change of syllabus the head of department must inform the exams office by the end of September.

4. Exam procedures

4.1. Exam Series and Timetables

- internal exams and assessments are scheduled as required throughout the year
- external exams and assessments are generally scheduled in May/June and January
- all exams are held under external exam conditions
- the senior leadership team decides which exam series' are used in the centre
- on-demand tests are to be scheduled in agreement with Curriculum leads and the Exams Officer
- once confirmed, the Exams Officer will circulate the exam timetables for both external and internal exams.

4.2. Entries, Entry Details and Late Entries

- candidates are selected for their exam entries by the heads of department/curriculum leaders and subject teachers
- candidates or parents/carers can request a subject entry, change of level or withdrawal
- the centre may accept entries from external candidates
- entry deadlines are circulated to heads of department via email and briefing meetings
- late entries are authorised by heads of department and Exams Officer
- re-take decisions will be made in consultation with candidates, subject teachers, senior leaders and Exams Officer.

4.3. Exam Fees

- exam entry fees are paid by the centre
- late entry or amendment fees may be paid by the candidate or the curriculum area according to who is responsible for the delay
- candidates are responsible for fees should they fail to sit an exam or meet the necessary coursework requirements without medical evidence or other mitigating circumstances unless otherwise agreed by an academy
- re-sit fees are paid by the candidates unless otherwise agreed by the Curriculum Leader
- candidates will be charged for all review of marks and copy scripts unless otherwise agreed by the Head of Department/Curriculum Leader.

5. Access Arrangements

- 5.1. The centre will meet the requirements of the Equalities Act 2010 by ensuring that the exams centre is accessible and that access arrangements and special consideration regulations and guidance are consistent with the law.
- 5.2. Access arrangements:
 - the SENCo will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an exam. The SENCo can then inform individual staff of any special arrangements that individual candidates can be granted during the course and in the exam.
 - a candidate's access arrangements requirement is determined by the SENCo, pastoral teacher and educational psychologist/appropriately qualified assessor
 - making access arrangements for candidates to take exams is the responsibility of both the SENCo and the Exams Officer
 - submitting completed access arrangement applications to the awarding bodies is the responsibility of the Exams Officer; this should be done in the presence of the SENCo

- rooming for access arrangement candidates will be arranged by the Exams Officer
- invigilation and support for access arrangement candidates will be organised by the SENCo with the Exams Officer

6. Managing Invigilators and Exam Days

6.1. Managing invigilators

- wherever possible external staff invigilate all examinations, only in exceptional circumstances should academy staff invigilate examinations
- recruitment of invigilators is the responsibility of the Exams Officer
- the training of invigilators is the responsibility of the Exams Officer
- ensuring that invigilators have been recruited in line with safer recruitment processes is the responsibility of the HR team
- DBS Disclosure checks, used as part of the recruitment process, are paid by the centre
- invigilators are timetabled and briefed by the Exams Officer
- invigilators' rates of pay are set by the academy.

6.2. Exam days

- the Exams Officer will book all exam rooms after liaison with other users and ensure question papers, other exam stationery and materials are available for the invigilators
- site management is responsible for setting up the allocated rooms
- the lead invigilator will start all exams in accordance with JCQ guidelines
- senior members of centre staff, such as a Vice Principal, who have been authorised by their head of centre, may be present at the start of an examination to assist with the identification of candidates
- senior members of centre staff, such as a Vice Principal, approved by the head of centre and who have not had overall responsibility for the candidates' preparation for the examination(s) may be present at the start of the examination(s) to check students have been issued with the correct papers, assist in settling students and to start the exam and to check candidates have the appropriate equipment
- a relevant subject teacher may be available to read out any subject-specific instructions and start the exam, if required
- in practical exams subject teachers may be on hand in case of technical difficulties
- question papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to heads of department 24 hours after the end of the exam session.
- anyone entering or leaving the exam room should sign in and out so that there is a full record and it is best practice to complete the JCQ "Exam Room Incident Log" to document issues.
- Completed scripts must be kept in a secure location from when the exam finishes to when they are despatched.

7. Candidates

7.1. All candidates are subject to the academy's Behaviour for Learning policy whilst sitting examinations in the Centre.

7.2. Candidates should be aware of the following:

- candidates must attend examinations in academy uniform
- candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage
- disruptive candidates are dealt with in accordance with JCQ guidelines. Candidates are expected to stay for the full exam time at the discretion of the Exams Officer or senior invigilator
- candidates may only leave the exam room for a genuine purpose and are required to return immediately to the exam room. They must be accompanied by a member of staff at all times
- the Exams Officer is responsible for handling late or absent candidates
- the Exams Officer will arrange supervision of clash candidates

- candidates must inform the Exams Officer of any situation likely to impair their performance in the exam. Such situations may include illness, bereavement or any other trauma
- the candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example by providing a letter from the candidate's doctor
- the Exams Officer will then forward a completed special consideration Form 10 to the relevant awarding body within seven days of the last exam in the series in each subject (although late applications may be accepted at the discretion of the awarding body).

8. Internal Assessments and Appeals

- 8.1. It is the duty of Curriculum Leaders to ensure that all internal assessment is ready for despatch at the correct time. The Exams Officer will assist by keeping a record of each despatch, including the recipient details and the date and time sent.
- 8.2. Marks and appeals
- Marks for all internally assessed work and estimated grades are provided to the exams office by the heads of department.
- 8.3. Appeals against internal assessments
- **appendix 4** details the appeals process
 - appeals can only be made against the process leading to an assessment. There is no appeal against the mark or grade awarded
 - candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with specification for the qualification.

9. Results

- 9.1. Candidates will receive an individual results slip on results days, either in person at the centre or by post to their home address (candidates to provide self-addressed envelope).
- 9.2. Arrangements for the centre to be open on results days are made by the head of centre.
- 9.3. The provision of staff on results days is the responsibility of the head of centre.
- 9.4. Enquiries about results (EAR) may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking. The candidates consent is required before any EAR is requested.
- 9.5. When the centre does not support a candidate's or parent's request for an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged.
- 9.6. Access to scripts
- after the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results.
 - Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.
 - Re-marks cannot be applied for once a script has been returned.
- 9.7. Certificates
- certificates are checked on receipt and presented in person or collected and signed for
 - certificates can be collected on behalf of a candidate by third parties, provided they have been authorised to do so
 - the centre may destroy any unclaimed certificates by a secure method (e.g. shredding or incineration) after holding them for a period of 12 months from the date of issue. A record of all certificates destroyed by the centre must be kept for a further period of four years from the date of their destruction
 - any queries concerning the destruction or secure disposal of unclaimed certificates should be directed to the awarding body that issued them.

Appendix 1

Procedure for Emergency Evacuation during an Examination

This appendix details how the centre deals with an emergency evacuation of the exam room(s) by defining staff roles and responsibilities and confirming the emergency evacuation procedure.

When is an emergency evacuation required?

An emergency evacuation is required where it is unsafe for candidates to remain in the exam room. This might include a fire in the exam room, the fire alarm sounding to warn of fire, bomb alert or other serious threat.

In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator, or similarly serious incidents.

Emergency evacuation of an exam room

Roles and responsibilities

Principal

Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation.

Senior Leader and Premises Manager

Where responsible for the centre-wide emergency evacuation procedure, ensures all staff and appointed fire marshals are aware of the policy and procedures to be followed when an emergency evacuation of an exam room is required.

Special Educational Needs Coordinator (SENCo), in conjunction with Premises Manager

- ensures appropriate arrangements are in place for the emergency evacuation of a disabled candidate from an exam room where different procedures or assistance may need to be provided for the candidate
- ensures the candidate is informed prior to taking their exams of what will happen in the event of an emergency evacuation.

Exams Officer

- ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- ensures candidates are briefed prior to exams taking place, on what will happen in the event of an emergency in the exam room
- provides invigilators with a copy of the emergency evacuation procedures for every exam room
- provides a standard invigilator announcement for each exam which includes appropriate information for candidates regarding what will happen if the fire alarm sounds
- provides an exam room incident log in each exam room
- liaises with the SENCo and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- ensures appropriate follow-up is undertaken after an emergency evacuation reporting the incident to the awarding body and the actions taken through the *special consideration* process.

Invisilators

- by attending training, ensure they understand what to do in the event of an emergency in the exam room
- follow the actions required in the emergency evacuation procedure issued to them for every exam room
- confirm with the Exams Officer, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating.

Other relevant centre staff

- support the senior leader, SENCo, Exams Officer and invigilators in ensuring the safe emergency evacuation of exam rooms.

Emergency evacuation procedure

Invisilators are trained in this procedure and understand the actions they must take in the event of a fire alarm or other emergency that leads to an evacuation of the exam room.

Actions to be taken

(as detailed in the current JCQ *Instructions for conducting examinations chapter 18, Emergencies*).

- stop the candidates from writing
- collect the attendance register (in order to ensure all candidates are present) and evacuate the examination room in line with the instructions given by the appropriate authority
- candidates should leave the room in silence
- candidates should be taken to the front car park – which is the safe collection point. However, they will remain in the front car park, separated from other students and will return to the examination room – when safe to do so – separated from the remaining academy cohort
- make sure that the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination
- make a note of the time of the interruption and how long it lasted
- allow the candidates the full working time set for the examination
- if there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination
- make a full report of the incident and of the action taken, and send to the relevant awarding body.

Appendix 2

Procedure for Identifying Candidates in an Examination

1. At the start of examinations, senior members of academy staff and pastoral staff (authorised by the Head of Centre) are available to supervise the candidates entering the examination hall and examination rooms and sitting down at their desks.
2. These staff are familiar with the students in the academy and able to identify:
 - any persons who should not be sitting the examination in question
 - that the correct candidates are sitting at the correct desks (where there are identification badges).
3. In addition, invigilators in every room are provided with a pack showing all students, including photographs, to allow them to easily identify any student in their exam hall/room.
4. In cases where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by an invigilator or member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. Once identification has been established, the candidate should replace the affected clothing and proceed as normal to sit the exam.
5. If any person is identified entering the examination hall/room who should not be sitting the examination in question, the person who identifies the candidate will inform the invigilator, who will in turn inform the Examinations Officer.

Appendix 3 - Word Processor Policy

Introduction

This document is the Word Processor policy for Trinity MAT.

References to 'AA' relate to JCQ Access Arrangements and Reasonable Adjustments 2017/18 and ICE to JCQ Instructions for conducting examinations 2017/18.

1 Principles for using a word processor (AA 5.8)

- Candidates with access to word processors are allowed to do so in order to remove barriers for disabled candidates which prevent them from being placed at a substantial disadvantage as a consequence of persistent and significant difficulties.
- The use of word processors is only permitted whilst ensuring that the integrity of the assessment is maintained, at the same time as providing access to assessments for a disabled candidate.
- The use of a word processor is not granted where it will compromise the assessment objectives of the specification in question.
- Candidates may not require the use of a word processor in each specification. As subjects and their methods of assessments may vary, leading to different demands of our candidates, the need for the use of a word processor is considered on a subject-by-subject basis.
- The use of a word processor is agreed/processed at the start of the course. Candidates are subsequently aware that they will have the use of a word processor for examinations and controlled assessments/coursework.
- Candidates are aware that they will have the use of a word processor for examinations and controlled assessments/coursework.
- The use of a word processor for candidates is only granted if it reflects the support given to the candidate as their 'normal way of working', which is defined as support:
 - in the classroom; or working in small groups for reading and/or writing; or literacy support lessons; or
 - literacy intervention strategies; and/or in internal school tests and mock examinations.

2 The use of a word processor (AA 5.8)

- Provide a word processor with the spelling and grammar check facility/predictive text disabled (switched off).
- Only grant the use of a word processor to a candidate where it is their normal way of working within the centre.
- Only grant the use of a word processor to a candidate if it is appropriate to their needs. (For example, the quality of language significantly improves as a result of using a word processor due to problems with planning and organisation when writing by hand).
- Provide access to word processors to candidates in controlled assessments or coursework components as standard practice unless prohibited by the specification.
- Allow candidates to use a word processor in an examination to type certain questions, i.e. those requiring extended writing, and handwrite shorter answers.
- Cathedral Academy are also aware that examinations which have a significant amount of writing, as well as those that place a greater demand on the need to organise thought and plan extended answers, are those where candidates will frequently need to type. Examinations which require more simplistic answers are often easier to handwrite within the answer booklet. The candidate avoids the difficulty of visually tracking between the question paper and screen.
 - In all cases, ensure that a word processor cover sheet (Form 4) is completed and attached to each candidate's typed script.
 - An academy will not simply grant the use of a word processor to a candidate because he/she prefers to type rather than write or can work faster on a keyboard, or because he/she uses a laptop at home.

3 Word Processor and their programmes

- (ICE 8.8) Word processors are used as a typewriter, not as a database, although standard formatting software is acceptable.
- (ICE 8.8) Word processors have been cleared of any previously stored data, as must any portable storage medium used. An unauthorised memory stick is not permitted for use by a candidate. Where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff.
- (ICE 8.8) An unauthorised memory stick is not permitted for use by a candidate.
- (ICE 8.8) Where required, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff.
- (ICE 8.8) Word processors are in good working order at the time of the examination.
- (ICE 8.8) Word processors are accommodated in such a way that other candidates are not disturbed and cannot read the screen.
- (ICE 8.8) Where a candidate using a word processor is accommodated separately, a separate invigilator is used.
- (ICE 8.8) Word processors are either connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium.
- (ICE 8.8) Documents are printed after the examination is over.
- (ICE 8.8) Candidates are present to verify that the work printed is their own.
- (ICE 8.8) Word processed scripts are attached to any answer booklet which contains some of the answers.
- (ICE 8.8) Word processors are used to produce scripts under secure conditions, and if they are not then Cathedral Academy are aware that they may be refused by the awarding body.
- (ICE 8.8) Word processors are not used to perform skills which are being assessed.
- (ICE 8.8) Word processors are not connected to an intranet or any other means of communication.
- (ICE 8.8) Candidates are not given access to other applications such as a calculator (where prohibited in the examination), spreadsheets etc. when using a word processor.
- (ICE 8.8) Graphic packages or computer aided design software is not included on a word processor unless permission has been given to use these.
- (ICE 8.8) Predictive text software or an automatic spelling and grammar check is disabled unless the candidate has been permitted a scribe or is using voice recognition technology (the script must have a scribe cover sheet attached), or the awarding body's specification permits the use of automatic spell checking.
- (ICE 8.8) Speech recognition technology is not included on word processors unless the candidate has permission to use a scribe or relevant software.
- (ICE 8.8) Word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe.

4 Laptops, Tablets and Word Processors

- (ICE 8.8) Tablets used during examinations/assessments are designed to run for a long period of time once fully charged and are 'free-standing'.
- (ICE 8.8) The battery capacity of all laptops and/or tablets is checked before the candidate's examination(s) with the battery sufficiently charged for the entire duration of the examination.
- (ICE 8.8) Candidates are reminded that their centre number, candidate number and the unit/component code must appear on each page as a header or footer.
- (ICE 8.8) Each page is appropriately numbered.
- (ICE 8.8) Candidates are instructed to use a minimum 12pt font and double spacing.
- (ICE 8.8) Invigilators remind candidates to save their work at regular intervals.
- (ICE 8.8) Candidates granted the use of a word processor are present at the end of the examination when their script is printed off so they can verify that the work printed off is their own.

Appendix 4 – Appeals against internal assessments

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

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. At all times staff will be 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.

1. The academy 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. The academy will inform candidates that they may request copies of materials to assist them in considering whether to request a review of the centre's marking of the assessment.
3. The academy will, having received a request for copies of materials, promptly make them available to the candidate.
4. The academy 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.
6. The academy will allow sufficient time 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. The academy 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. The academy 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 an academy and is not covered by this procedure.

Appendix 5 – Risk management process Cathedral Academy

This document highlights the potential risks involved in the arrangements, planning and execution of the Exams cycle.

Risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Plan dates in consultation with school calendar – negotiate with other parties	SPR, LHN
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates some time between assessments	CL's, SPR, KCY, ABR
Accommodation			
Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment	Use more than one classroom or multiple sittings where necessary	SPR, LHN
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		SPR, LHN
Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	LHN, RGL
Teaching staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time	LHN, RGL
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	LHN, RGL
Absent candidates			
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes N.B. retakes of controlled assessment are limited	SPR, LHN, ABR, KCY
Control levels for task taking			

Risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	LHN, CL's, SPR
Supervision			
Student study diary/plan not provided or completed*	Ensure teaching staff/assessors are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	LHN, CL's
Teaching staff/assessors do not understand supervision of controlled assessment is their responsibility	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision		LHN, CL's
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are not supervising	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.		LHN, SPR
Task setting			
Teaching staff/assessors fail to correctly set tasks	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification**	Seek guidance from the awarding body	LHN, CL's, SHN, SPR
Assessments have not been moderated as required in the awarding body specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	LHN, CL's, SHN, SPR
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	LHN
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary	Take materials to secure storage	LHN, CL's
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	LHN, SPR

Risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines/penalties for not meeting them	Mark what candidates have produced by deadline and seek guidance from awarding body on further action.	LHN, CL's
Deadlines for marking and/or paperwork not met by teaching staff/ assessors	Ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so the exams office can process and send off marks ahead of AB deadlines	Seek guidance from awarding body	LHN, CL's, SPR
Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed	LHN, CL's
Teaching staff/assessors fail to complete authentication forms or leave before completing authentication	Ensure teaching staff/assessors understand importance of authentication forms and the requirement of a signature	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season	LHN, CL's, SPR
Marking			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding body specification for appropriate procedure	LHN, CL's, SPR
Centre does not run standardisation activity as required by the awarding body	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardisation event can be arranged.	LHN, CL's, SPR

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

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