



# Sandwell Academy Examination Policy

<b>Policy Title:</b>	Examination Policy
<b>Policy Reference:</b>	SA.....
<b>Description:</b>	This document sets out how the Academy will administer examinations.
<b>Status:</b>	Statutory
<b>Category:</b>	Academy
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<b>Version:</b>	V1.5 – June 2017
<b>Other relevant SA polices:</b>	None
<b>Adopted by the Governing Board on:</b>	
<b>Date for Review:</b>	June 2018

<b>Change Record</b>		
<b>Version</b>	<b>Date</b>	<b>Description</b>
1.1	Jan 2013	Review by ASG
1.2	June 2015	Review by PAM addition of People Present section
1.3	June 2016	Review by PAM
1.4	November 2016	Review by PAM addition of student being issued incorrect paper risk assessment
1.5	June 2017	Disability policy tailored to exam specific issues

# Contents Page

## Table of Contents

Contents Page .....	3
Objective.....	5
Key Dates .....	5
Access .....	5
Accountability of Departments.....	7
Entries .....	7
Charging Policy.....	7
Amendments.....	7
Absence/Late.....	7
Access to Fair Assessment Policy.....	8
External examinations.....	8
Controlled Assessment .....	9
Internal examinations.....	9
Security.....	9
Site Management.....	10
The People Present .....	10
External Invigilators.....	10
Invigilation.....	11
Malpractice Procedures .....	12
Appeals.....	12
SEN .....	12
Special Consideration .....	13
Dispatch of exam scripts .....	13
Post Results Service .....	13
Reporting .....	13
Controlled Assessment .....	13
Staff Responsibilities - GCSE Controlled Assessment.....	13
Staff Responsibilities - Diploma Principal Learning Controlled Assessment.....	15
Internal Moderation for ASDAN (COPE).....	17
APPENDIX 1.....	18
Appendix 2.....	20
POLICY ON INTERNAL ASSESSMENTS FOR EXTERNAL QUALIFICATIONS .....	20

Written appeals procedure.....	20
<b>Exam Risk Assessment .....</b>	<b>22</b>
Exam Room .....	22
Exam Office .....	23
Cheating and Plagiarism.....	25
<b>Appendix 3.....</b>	<b>25</b>
Staff Malpractice Policy .....	25
Examples of Malpractice.....	25
Staff Malpractice Procedure .....	25
Staff Malpractice Sanctions .....	27
Appeals.....	27
Candidate Malpractice Policy .....	27
Examples of Malpractice.....	27
Appeals.....	28
<b>Appendix 4.....</b>	<b>29</b>
Internal Moderation Policy for ASDAN (COPE) .....	29
<b>Appendix 5.....</b>	<b>30</b>
<b>Appendix 6.....</b>	<b>31</b>
Risk Management for Controlled Assessments .....	31

## **Objective**

To run an efficient exams system with clear guidelines for all staff involved in running and entering pupils for public examinations.

This document sets out the procedures for the administration, organisation and smooth running of public examinations.

## **Key Dates**

See Timetables released by the JCQ (Joint Curriculum Qualifications) and individual examination boards such as AQA, EDEXCEL, OCR, ASDAN and the Welsh Board. Please go to individual websites of these examination boards.

## **Access**

Students are made aware of the existence of this policy and have open access to it. It can be found online at [www.sandwellacademy.com](http://www.sandwellacademy.com). All teachers are made aware of this policy and how to access it in order that students can be supported.

This policy is reviewed annually and may be amended in response to feedback from students, staff, parents and external organisations.

<b>Month</b>	<b>Task</b>
<b>September</b>	Enquiries about results, declining GCE grades Modified papers for Nov/Dec/Jan Series
<b>October</b>	GCSE Entries for November Series GCE Entries for January Series All other access arrangements for Nov/Dec/Jan Series
<b>November</b>	All access arrangements for Feb/March/Apr Series
<b>January</b>	GCSE Entries for March Series Modified papers for May/June Series
<b>February</b>	GCSE Entries for Summer Series All other access arrangements for May/June Series
<b>March</b>	GCE Entries for Summer Series
<b>May</b>	Submission of marks and samples to GCE/GCSE moderators GCSE/GCE Estimated grades to awarding bodies Exams
<b>June</b>	Exams
<b>August</b>	Results Analysis Remarks

## **Accountability of Departments**

A nominated individual from each department is responsible for exam entries/withdrawals etc.. All liaisons with the Deputy in charge of exams should come from this individual. Departments should ensure entries are made to meet any deadlines set by the Deputy in charge of exams. Departments should ensure that all relevant codes for modules, aggregation and coursework are supplied.

It is a department's responsibility to request specifications, pass papers and pre-release materials. Department Heads will dispatch coursework in good time, envelopes and labels will be made available through the Deputy in charge of exams.

## **Entries**

Prior to an exam series in July, a request will be made for 'intentions to offer' courses. These returns should be made in good time. In September a request will be made for January module entries. These should be returned to meet any deadlines. Departments will supply correct codes and are responsible for making sure lists of pupils are correct. In March similar requests need to be made for June modules. If a department requires aggregation or coursework entry, then the correct codes should be supplied.

All candidates will be entered by the due date set by the board.

## **Charging Policy**

Department Heads will decide if a pupil will be entered for a re-sit. If a pupil chooses to take a re-sit which is not recommended by the department then the pupil will be charged. Only on receipt of this money will the entry be made.

Departments may be charged for late fees if they fail to make returns in good time.

## **Amendments**

Withdrawals and change of tier will be accepted if requested in good time, with respect to dates issued by the awarding body. Otherwise they may be charged to the department

## **Absence/Late**

If a pupil misses an exam through an authorised absence they will where possible be given the opportunity to re-sit.

# Access to Fair Assessment Policy

## Statement of Assessment

- We aim to provide a variety of qualifications which provide all students with the opportunity to achieve their full potential by the most appropriate and direct route.
- Our Assessment Policy is based on the concepts of equality, diversity, clarity, consistency and openness.
- We will endeavour to ensure that the assessment processes are implemented in a way which is fair and non-discriminatory.

## Access

### What students can expect from us

- We aim to ensure that all assessment of work is carried out fairly and in keeping with the awarding body's requirements.
- All portfolio-based work will be assessed fairly against the qualification standards and teachers involved will be fully trained.
- Internal assessments will be carried out fairly and according to awarding body instructions.
- Externally marked tests and exams will be according to the requirements of the awarding body.
- Students can also expect:
- To be fully inducted onto a new course and given information that can be shared with parents and carers.
- Learning outcomes, performance criteria and other significant elements of learning and assessment to be made clear at the outset of the course and when assignments are set.
- To be given appropriate assessment opportunities during the course with feedback provided on the quality of the work.
- All work to be marked within two weeks of submission by the student.
- Where equivalent and exemptions can be applied, we will ensure this is pursued with the relevant awarding body.

## External examinations

The Deputy in charge of exams is responsible for the organisation and conduct of all external exams.

Final Confirmation of entry numbers and levels will be made with the department.

All exam papers will be counted in by the Deputy in charge of exams and locked away.

All sealed exam papers will be checked by Department Heads in the presence the Deputy in charge of exams in good time before the exam date.

A member of the department will be present at the start of an exam.

No exam papers are to be removed from the exam room before the end of a session.



All exams will be conducted according to the rules laid down by the exam boards and within the start and finish times determined by the board.

Any misconduct or irregularity must be reported to the Deputy in charge of exams as soon as possible. The appropriate action will be taken and the exam board concerned will be informed.

In the absence of the Deputy in charge of exams, exam papers will be collected and taken to the exams admin assistant.

Students will not be allowed to leave an exam unless the exam paper has been picked up and secured by an invigilator.

All relevant documentation relating to the conduct of exams will be present and correctly displayed.

A clock will be provided, as will start and finish times. Outside the exam room boards asking for quiet will be displayed.

A seating plan with pupil candidate numbers will be displayed.

## **Controlled Assessment**

Department Heads will dispatch controlled assessment in good time, envelopes and labels will be made available through the Deputy in charge of exams. Departments will provide coursework codes to the Deputy in charge of exams and request submission for the correct session.

Departments will be responsible for ensuring pupil's work is their own.

## **Internal examinations**

The Deputy in charge of exams will be responsible for the overview of the organisation of accommodation and invigilation for internal exams. Mock post 16 exams will usually be organised from within departments. A mock exam for SATs and GCSEs will be accommodated for in an exam room. Each department will be responsible for producing papers and to make sufficient numbers available. These will usually be timetabled in order for departments to provide invigilation.

Misconduct will be reported to the Deputy in charge of exams and appropriate action will be taken.

## **Security**

All exam papers will be counted in by the Deputy in charge of exams and locked away.

All sealed exam papers will be checked by Department Heads in the presence the Deputy in charge of exams in good time before the exam date.

A secure room in line with the JEB regulations will be provided. There will be no more than two key holders,

No exam papers are to be removed from the exam room before the end of a session.

## **Site Management**

Suitable rooms for examinations will be identified.

The Site Manager will be given a timetable of exams with pupil numbers. Accommodation will be readied with chairs and desks.

Candidate numbers will be available on desks and seating plans will be visible.

Departments will be informed that their usual venue may not be available.

Breakfast and Dinner arrangements may be altered and this will be communicated to those affected.

## **The People Present**

In line with JCQ guidance members of centre staff, such as a Deputy Head Teacher, approved by the head of centre to be present at the start of the examination may:

- Identify and settle candidates and instil discipline;
- Check the candidates have been issued with the correct question papers for their subject/unit and level or tier of entry;
- Check candidates have the necessary equipment and materials;
- Start the examination off

## **External Invigilators**

A team of external invigilators ensure the smooth running of exams when in progress. These invigilators will undertake training and will be subject to an Enhanced CRB Check prior to employment.

We have set up a team of external invigilators. As pupil numbers increase external invigilators has increased.

A recruitment procedure for an invigilation team is in place. They will require training and CBR checks. We need to be aware that CBR checks are only valid for three months if one is not present in school. We will provide a briefing session regarding the January series of exams in April and a briefing for the June session in September.

All new invigilators are required to be observed during the first six months and annually thereafter to ensure assessment regulations are being followed. Existing invigilators should be observed conducting an assessment at least once a year.

## **Invigilation**

Each exam session will have a designated invigilator in charge, whose role will be to deploy invigilators and oversee the conduct of each. Senior invigilators will check attendance according to seating plan. Senior invigilators will double check that all students have been issued the correct exam paper before the start of the examination.

Invigilators must not take work into the exam room but give full attention to the conduct of the examination.

# Malpractice Procedures

This will follow the guidance set out by the examination boards who will be contacted in such cases. Also, see Appendix 1 (banned items), Appendix 3 (risk-assessment)

## Appeals

Please see Appendix 2.

## SEN

It is the responsibility of the Deputy for SEN to liaise with the Deputy in charge of exams about the arrangements for SEN children. They will then ensure all deadlines are met for requests for special consideration. These requests may include extra time, readers or enlarged exam papers.

In line with the Academy's Equal Opportunities and Diversity Policy:

Sandwell Academy will adhere to the requirements of the Equality Act 2010 by not discriminating against learners, parents, staff, volunteers, prospective employees or anyone involved in external agencies the organisation may be working with on the grounds of:

- sex, race, disability, religion or belief, age or sexual orientation.

In addition, there will be no discrimination against:

- pregnant females or new mothers
- marriage and civil partnership
- staff, learners or volunteers undergoing gender re-assignment
- learners due to the behaviour of their parents and/or siblings

It is expected that every person in the organisation will make a positive contribution to this policy, namely:

- All staff whether paid or voluntary
- All visitors to Sandwell Academy
- All learners at Sandwell Academy

In addition, Sandwell Academy will:

- supply specialist aids and facilities to enable disabled people to access examinations appropriately
- monitor any issues that arise within the organisation and take appropriate action, fully supporting any person in the organisation who is faced with prejudice or discrimination
- undertake an annual evaluation process to ensure that the policy is clear, in keeping with current legislation and being adhered to
- treat seriously any breaches of the policy, regarding them as misconduct which may lead to disciplinary proceedings

## Special Consideration

It will be at the discretion of the Deputy in charge of exams if extra time will be allowed for latecomers. This will be in accordance with the regulations set out by the examination authorities.

There will be arrangements made for pupils who have clashes of exams. This will be in accordance with the regulations set out by the examination authorities.

## Dispatch of exam scripts

The school will dispatch exam scripts by a traceable system and keep appropriate records.

## Post Results Service

Results will be available for collection on the day notified by Exam Boards only. 24 hours prior to this only designated people will collate the results. They will not discuss results before notification time.

Subjects should check for the possibility of a re-mark/re-grade within three days of scrutiny of the results. If a result is queried the Deputy in charge of exams will investigate the feasibility of asking for a re-mark. All scripts requests and requests for re-marks must come from the DHM for that area using the pro-forma in Appendix 1.

## Reporting

The Deputy in charge of exams will provide summary data as requested for by the Head or governors. The Deputy in charge of exams will also provide a report on the conduct of the seasons exams. This will be shared with the invigilation team and the Head

## Controlled Assessment

### Staff Responsibilities - GCSE Controlled Assessment

#### Senior Leadership Team

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of key stage 4).
- Map overall resource management requirements for the year. As part of this resolve:

- clashes/ problems over the timing or operation of controlled assessments.
- issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- Ensure that all staff involved have a calendar of events
- Create, publish and update an internal appeals policy for controlled assessments.

### **Curriculum Leaders**

- Decide on the awarding body and specification for a particular GCSE.
- Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirement in accordance with the awarding body specification.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.
- Supply to the exams office details of all unit codes for controlled assessments.
- Ensure that the scheduling of controlled assessment takes place wherever possible in your own subject time and if this is impossible, consult SLT and the Exam Office.

### **Teaching Staff**

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

## **Exams Office Staff**

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

## **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.

## **Staff Responsibilities - Diploma Principal Learning Controlled Assessment**

### **Senior Leadership Team**

- Accountable for the safe and secure conduct of controlled assessment, and ensure that it complies with both the JCQ general guidelines and awarding body instructions.
- Ensure procedures are in place to cover requirements for summative assessment – and that these are communicated to all relevant consortium staff.
  
- Map overall requirements for the year. Resolve any clashes/problems arising over the timing or operation of controlled assessments. Also any 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.

### **Deputy Head Managers**

Deputy Head Managers should decide on awarding body and specifications. (In some cases this might be the responsibility of the consortium lead assessor depending on local circumstances).

- Domain assessors must ensure that assessors understand controlled assessment requirements.
- Domain assessors and/or line of learning leads are responsible for ensuring that assessment tasks meet the requirements of the awarding body specifications, and for applying the relevant control requirements. (For example, by internally checking and approving assessments written by teaching staff and/or assessors, or ensuring they have been approved by the awarding body).
- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body specification for conducting controlled assessments, including any line of learning, level and unit 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.
- Where appropriate, obtain confidential materials/tasks set by the awarding bodies from the relevant exams office in sufficient time to make preparation for assessments.
- Develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.
- Follow the requirements for supervision as set out in the awarding body specification at the specified level of control, only permitting assistance to students as the specification allows.
- Domain assessors need to work with assessors to standardise the marking of internally assessed units for each line of learning.
- Where an assessor will not be supervising the controlled assessment, he or she **must** arrange for a suitable person to do so, in line with the awarding body specification.
- Ensure that learners and assessors sign authentication forms on completion of an assessment.
- Mark assessments according to the mark schemes and guidance provided by the awarding bodies. Submit the marks through the relevant exams office to awarding bodies when required, keeping a record of the marks awarded.
- Retain learners work securely between assessment sessions (if more than one).
- Post-completion, retain learners' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain learners' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre
- Ask the home centre special educational needs coordinator/additional learning support for any assistance required for the administration and management of access arrangements.

### **Exams Officer**

*(Please note this could refer to the exams office of an individual school or college, or to a centralised exams office that covers all controlled assessment within a consortium depending on local circumstances.)*

- Enter learners for all units, whether assessed by controlled assessment internally, or externally assessed, before the awarding body deadline.
- 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 the use of teaching staff, and collect/send them to awarding bodies before deadlines.

### **Special Educational Needs/Inclusion Manager**



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

## **Internal Moderation for ASDAN (COPE)**

Please refer to Appendix 4.

# APPENDIX 1

Centre Number 20602

Dear Parent/Guardian

## ALLEGATION OF BREACH OF PUBLIC EXAMINATION REGULATIONS

I am writing to inform you of a reported breach of regulations covering public examinations.

Your child, \_\_\_\_\_, was found in possession equipment/material which is banned from examinations. Each student is aware through announcement, notice and other information that this will result in penalties from the board ranging from warning to disqualification.

In this case I have no option but to report the infringement to the Examinations Board and leave the action for them to decide.

The Examination Boards and the school treat these matters with the utmost importance.

Yours,

Paul Moore

Examinations Officer

Sandwell Academy

Dear Parent/Guardian

ALLEGATION OF BREACH OF PUBLIC EXAMINATION REGULATIONS

I am writing to inform you of a reported breach of regulations covering public examinations.

Your child, \_\_\_\_\_, was found in possession equipment/material which is banned from examinations. Each student is aware through announcement, notice and other information that this will result in penalties from the board ranging from warning to disqualification.

In this case I have decided that the examination board concerned will not be notified, however my office will retain a record and any further infringement will be automatically reported without further warning.

The Examination Boards and the school treat these matters with the utmost importance.

Yours,

Paul Moore

Examinations Officer

Sandwell Academy

## Appendix 2

### POLICY ON INTERNAL ASSESSMENTS FOR EXTERNAL QUALIFICATIONS

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

- internal assessments are conducted by staff who have the appropriate knowledge, understanding and skills;
- assessment evidence provided by candidates has been produced and authenticated according to the requirements of the specification;
- the consistency of the internal assessment is secured through internal standardisation as necessary;
- Staff responsible for internal standardisation attend any compulsory training sessions.

#### Written appeals procedure

Each awarding body publishes its arrangements for appeals against its decisions. In addition, an appeal can be made to the School concerning the **internal assessment**:

- the appeal applies only to the procedures used in arriving at internal assessment decisions and does not apply to the judgement themselves; you cannot appeal against the mark or grade only the procedures used
- the parent or guardian must make the appeal in writing to the School's Examinations Officer at least two weeks before the date of the last externally assessed paper of the series;
- the enquiry into the internal process will normally be led by either the Examinations Officer or the Head of Sixth Form, provided that neither has played any part in the original internal assessment process;
- the enquiry will consider whether the procedures used for the internal assessment were in conformity with the published requirements of the Awarding Body and the 'Code of Practice'.

The appellant will be informed in writing of the outcome of the appeal, including:

- relevant communications with the Awarding Body;
- any steps taken to further protect the interest of the candidates.

Each awarding body specifies detailed criteria for the internal assessment of work. In addition, the awarding body must moderate the assessment and the final judgement on marks awarded is that of the awarding body. Appeals against matters outside the School's control will not be considered in the School's appeals procedure.

If a student does not agree with the Academy's decision after going through the appeals procedure then they can appeal to the examining board.

**Note:** Each awarding body specifies detailed criteria for the internal assessment of work. In addition, the awarding body must moderate the assessment and the final judgement on marks awarded is that of the awarding body. Appeals against matters outside the School's control will not be considered in the School's appeals procedure.

# Exam Risk Assessment

## Exam Room

Risk	Early warning	Control to prevent	Control to resolve
Invigilator does not turn up	Phone Call or scripts not collected	Invigilator timetables – sign tear off slip to confirm dates	On busy days employ emergency invigilator or EO to cover
Fire alarm goes off			Ensure invigilators are aware of policy. SMT to assist in maintaining security of exam. Allocate specific area for exams.
Student taken ill during exam			Invigilator aware of policy, first aider on call. Special Consideration for all students.
Bad weather or transport problems	Weather report	Possible delay to start of exam	Delay start, contact AB, isolation of candidates if late and hold staggered sessions if necessary. Special Consideration
Students do not turn up for exam		Student timetables and information from subject teachers	Who rings student? Where do they sit and who invigilates.
Students turn up who are not entered		Subject teachers/HOD's ensure entry checklists are correct	Find a paper, seat them, amend attendance list and make entry. Charge late fee to department. If recurring problem see SMT?
Cheating in the room	Invigilator reports problem	Warning to candidate and information from tutor	Invigilator aware of policy, SMT on-call to deal with malpractice issue

Disruption in the room	Invigilator reports problem	Warning to candidate and information from tutors. Information from tutors to EO re problem students in order to isolate.	Invigilator aware of policy, SMT on-call to deal with malpractice issues
Late arrivals	Phone call or just turn up late	Candidate timetable and information from tutors	Invigilator aware of policy. Complete Late arrivals form.
EO does not turn up	Phone call	Regular meetings with line manager	SMT to have back-up policy
Exam room flooded	Check room, or invigilator reports problem	Regular premises checks	Find alternative accommodation. Special Consideration
Wrong entry made – incorrect paper		Subject teachers/HOD's ensure entry checklists are correct	Contact AB for copy of paper if necessary. Provide exam paper, seat and amend entry.
Incorrect paper handed to student	Student believes they have been handed incorrect paper and informs staff	Invigilators to follow seating plan and hand out papers as indicated.  Lead invigilator and Senior leader present to ask students to check that they have the correct paper.	Exam board to be contacted and informed of mistake.  Special consideration to be applied for.

## Exam Office

Risk	Early warning	Control to prevent	Control to resolve
EO leaves/long term sick	Notification from EO	Regular meeting with line manager	SMT to have back-up policy
Curriculum model changes	Government white paper. Information		Planning and Action Plan to implement

	from NAA and QCA, and AB's		changes. Review of job description?
Damage to office		Regular premises checks	Need AB's handbooks, new equipment, phone line and office space. Copies of relevant information from HOD's. Contact NAA Field Support for assistance.
System failure power cut			Contact AB to inform entries will be late. Contact NAA Field Support Officer for assistance.
Receiving inaccurate or late entry information		Subject teachers/HOD's ensure entry checklists are correct and on time.	Charge late fee to department. If recurring problem see SMT?
Change of syllabus and no notification	Pre-release material does not arrive. Materials arrive that are not expected.	Subject teachers/HOD's ensure entry checklists are correct.	Contact AB
HOD long term sick or leaves	Resignation or sick note.		Replacement to be nominated and trained by EO.
AB communications systems fail	Papers do not arrive, on-line systems incorrect, difficult to contact by telephone.		Contact NAA to report problem. Give extra time for checking



## **Cheating and Plagiarism**

A fair assessment of student's work can only be made if that work is entirely the student's own. Therefore students can expect an awarding body to be informed if:

They are found guilty of copying, giving or sharing information or answers, unless part of a joint project

They use an unauthorised aid during a test or examination

They copy another student's answers during a test or examination

They talk during a test or examination.

All allegations of cheating and plagiarism will lead to a full investigation which will follow the guidance of the relevant awarding body.

If a student feels he/she has been wrongly accused of cheating or plagiarism, they should be referred to the Complaints Policy.

## **Appendix 3**

### **Staff Malpractice Policy**

#### **Examples of Malpractice**

Attempted or actual malpractice activity will not be tolerated. The following are examples of malpractice by staff with regards to portfolio-based qualifications. This list is not exhaustive:

- Tampering with candidates work prior to external moderation/verification
- Assisting candidates with the production of work outside of the awarding body guidance
- Fabricating assessment and/or internal verification records or authentication statements

The following are examples of malpractice by staff with regard to examinations

- Assisting candidates with exam questions outside of the awarding body guidance
- Allowing candidates to talk, use a mobile phone or go to the toilet unsupervised
- Tampering with scripts prior to external marking taking place.

#### **Staff Malpractice Procedure**

Investigations into allegations will be coordinated by deputy head or senior manager for that area, who will ensure the initial investigation is carried out within ten working days. The person responsible for coordinating the investigation will depend on the qualification being investigated. The investigation will involve establishing the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true. Where appropriate, the staff member concerned and any potential witnesses will be interviewed and their version of events recorded on paper.

The member of staff will be:

- informed in writing of the allegation made against him or her
- informed what evidence there is to support the allegation
- informed of the possible consequences, should malpractice be proven
- given the opportunity to consider their response to the allegations

- given the opportunity to submit a written statement
- given the opportunity to seek advice (as necessary) and to provide a supplementary statement (if required)
- informed of the applicable appeals procedure, should a decision be made against him/her
- informed of the possibility that information relating to a serious case of malpractice will be shared with the relevant awarding body and may be shared with other awarding bodies, the regulators Ofqual, the police and/or professional bodies.

If work is submitted for moderation/verification or for marking which is not the candidate's own work, the awarding body may not be able to give that candidate a result.

## Staff Malpractice Sanctions

Where a member of staff is found guilty of malpractice, the head of centre may impose the following sanctions:

- 1) Written warning: Issue the member of staff with a written warning stating that if the offence is repeated within a set period of time, further specified sanctions will be applied
- 2) Training: Require the member of staff, as a condition of future involvement in both internal and external assessments to undertake specific training or mentoring, within a particular period of time, including a review process at the end of the training
- 3) Special conditions: Impose special conditions on the future involvement in assessments by the member of staff
- 4) Suspension: Bar the member of staff in all involvement in the administration of assessments for a set period of time
- 5) Dismissal: Should the degree of malpractice be deemed gross professional misconduct, the member of staff could face dismissal from his/her post

## Appeals

The member of staff may appeal against sanctions imposed on them. Appeals will be conducted in line with the organisations Appeals Policy.

## Candidate Malpractice Policy

### Examples of Malpractice

Attempted or actual malpractice activity will not be tolerated. The following are examples of malpractice by candidates with regards to portfolio-based qualifications. This list is not exhaustive:

- Plagiarism: the copying and passing of as the candidate's own work, the whole or part of another person's work
- Collusion: working collaboratively with other learners to produce work that is submitted as the candidate's only
- Failing to abide by the instructions of an assessor – This may refer to the use of resources which the candidate have be specifically told not to use
- The alteration of any results document

If a teacher suspects a candidate of malpractice, the candidate will be informed and the allegations will be explained. The candidate will have the opportunity to give their side of the story before any final decision is made. If the candidate accepts that malpractice has occurred, he/she will be given the opportunity to repeat the assignment. If found guilty of malpractice following an investigation, the teacher may decide to re-mark previous assignments and these could also be rejected if similar concerns are identified.

The following are examples of malpractice by candidates with regards to examinations. This list is not exhaustive:

- Talking during an examination
- Taking a mobile phone into an examination
- Taking any item other than those accepted by the Awarding Body into the examination, such as a book or notes
- Leaving the examination room without permission
- Passing notes or papers or accepting notes to, or accepting notes or papers from another candidate

If a teacher suspects a candidate of malpractice during an examination, the candidate will be informed and the allegations will be explained. The candidate will have the opportunity to give their side of the story before any final decision is made. If the candidate is found guilty of malpractice, the Awarding Body will be informed and the candidate's examination paper will be withdrawn. It is unlikely that the candidate will have the opportunity to repeat the examination.

## **Appeals**

In the event that a malpractice decision is made, which the candidate feels is unfair, the candidate has the right to appeal in line with the Appeals Policy.

### Appeals Policy

All students at Sandwell Academy have the right to make an appeal about any of the marks received for the qualifications they are undertaking.

If any student wishes to appeal a decision, they should follow the following procedure.

1. If possible, speak to the member of staff responsible for teaching the qualification in the first instance about the reason they wish to appeal.
2. The member of staff has a responsibility to explain to the candidate why he/she received the grade/mark.
3. If the student is not satisfied with the explanation, the piece of work will be re-marked by another member of staff also involved with that qualification.
4. The student will be informed of the outcome of the re-marking by letter.
5. If the student wants to continue the appeal, he/she needs to contact the exams officer, who will provide the student with information about the appeals procedure for the relevant awarding body and explain what is involved. The exams officer will assist with the completion of any forms and will correspond with the awarding body on behalf of the student.
6. Please note: a student must have the support of the centre to be able to appeal against a result.

## Appendix 4

### Internal Moderation Policy for ASDAN (COPE)

#### General Internal Moderation Principles

- It is essential that assessment decisions are in line with the qualification standards. The internal and external moderation process is in place to ensure that all assessments are applied consistently for all candidates and that the final judgement is accurate, reliable and recorded.
- Internal moderation should be on-going throughout the course, with feedback being given to the assessors. There should be evidence of feedback being actioned where necessary.
- Summative internal moderation must be carried out prior to candidates being entered for external moderation. Only those assessors whose candidates have fully met the standards can be entered for external moderation. Entering those who have not met the standards will jeopardise the success of those who have met the standards. If a tutor is found to be entering candidates for moderation who have not met the standards, disciplinary procedures may be implemented.
- It is the responsibility of all staff to participate in the moderation process by keeping the necessary records, attending relevant meetings and submitting marked student work as requested.
- All assessment evidence, which has been internally moderated, must be kept onsite until after the external moderation. The work remains the property of the candidate and can be returned to the candidate according to the requirements of the relevant awarding body.

## Appendix 5

<b>POST EXAMINATION RESULTS</b>						
<b>Subject:</b>		<b>DHM:</b>				
Student Name and Candidate number: <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>	<b>Re-mark Required (tick)</b> <input style="width: 100%; height: 20px;" type="text"/>	Unit <input style="width: 100%; height: 20px;" type="text"/>	Exam Board <input style="width: 100%; height: 20px;" type="text"/>	Current UMS and grade <input style="width: 100%; height: 20px;" type="text"/> Required UMS and grade <input style="width: 100%; height: 20px;" type="text"/>		
Student Name and Candidate number: <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>  Student Signature: <input style="width: 100%; height: 40px;" type="text"/>	<b>Copy of Script Required (tick)</b> <input style="width: 100%; height: 20px;" type="text"/>	Unit <input style="width: 100%; height: 20px;" type="text"/>	Exam Board <input style="width: 100%; height: 20px;" type="text"/>	List names and candidate numbers for multiple scripts: <table border="1" style="width: 100%; height: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td></td> </tr> </table>		
Student Name and Candidate number: <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>  Student Signature: <input style="width: 100%; height: 40px;" type="text"/>	<b>Priority Remark (tick)</b> <input style="width: 100%; height: 20px;" type="text"/> August A-level Only	Unit <input style="width: 100%; height: 20px;" type="text"/>	Exam Board <input style="width: 100%; height: 20px;" type="text"/>	Current UMS and grade <input style="width: 100%; height: 20px;" type="text"/> Required UMS and grade <input style="width: 100%; height: 20px;" type="text"/>		

If re-moderation of coursework is required you will need to book an appointment to discuss with both the Head teacher and examinations officer.

## Appendix 6

### Risk Management for Controlled Assessments

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	Examinations officer
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates some time between them	Examinations officer
<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	Subject Leaders
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Subject Leaders

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	Subject Leaders
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	Examinations Officer
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Subject Leaders
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Subject Leaders



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	Subject Leaders
<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	Subject Leaders
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments		Examinations Officer
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		Examinations Officer

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

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Task setting</b>			
Teaching staff 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	Subject Leaders
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Subject Leaders
<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	Examinations officer
Candidates' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Seek guidance from the awarding body	Examinations officer
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Subject Leaders

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

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Deadlines</b>			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines and the penalties for not meeting them	Mark what candidates have produced by the deadline  Seek guidance from awarding body on further action	Subject Leaders
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	Examinations 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	Subject Leaders

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	Subject Leaders
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Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking  Plan for sampling of marking during the practice phase	Arrange for re-marking  Consult the awarding body's specification for appropriate procedures	Subject Leaders
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	Examinations Officer