

Policy last reviewed:	November 2025
Next review due:	November 2026
Member of staff responsible	Head of School
Governor's Committee:	N/A - SLT

Vision Statement: Our vision is to be a centre of excellence for learning, inspired by Christian values, where every person in our school community fulfils their potential.

Mission Statement: Our mission is to be a deeply Christian inclusive community which values every individual as a child of God.

Values Statement: The school aims to serve its community by providing an education of the highest quality within the context of Christian belief and practice. It encourages an understanding of the meaning and significance of faith and promotes Christian values through the experience it offers to all its students.

Dignity Underpinning all that we do is the core belief in the ultimate worth of each person as a child of God – precious, valued and loved by God. Dignity comes from the knowledge of our ultimate worth as human beings.

Community Having understood our value as individual human beings, we express this value through the quality of the relationships that we share with each other. Community, living well together, is of very great importance to us as a school, as is the place we each take in the wider community locally, nationally and internationally.

Wisdom As a school we seek to foster confidence, delight and discipline in seeking wisdom, knowledge and truth. This is achieved through the nurturing of academic habits and skills, emotional intelligence, resilience and creativity across the breadth of the curriculum.

Hope As we prepare our students for the future, we look to open up horizons of hope and aspiration, encouraging our students to embrace these with confidence and sending them out to make a difference to the world in which they live.

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1. **Aims:**

- To ensure the planning and management of exams and controlled assessments are conducted in line with JCQ guidelines, efficiently and in the best interest of candidates
- To ensure the operation of an efficient exam system with clear guidelines for all relevant staff and candidates
- To identify and minimise the risk of malpractice by staff or candidates
- To respond to any incident of alleged malpractice promptly and objectively
- To protect the integrity of this centre

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

2. **Exam Responsibilities**

2.1 **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 \(AARA\)](#)

[A guide to the special consideration process \(SC\)](#)

[AI Use in Assessment: your role in protecting the integrity of qualifications](#)

[Guidance for centres on cyber security](#)

[Suspected Malpractice in Examinations and Assessments \(SMEA\)](#)

[Instructions for conducting non-examination assessments \(NEA\) \(and the instructions for conducting coursework\)](#)

[Instructions for conducting non-examination assessments \(Vocational and Technical Qualifications \(NEA VTQs\)](#)

[Notice to Centres – informing candidates of their centre-assessed marks](#)

[Plagiarism in Assessments – Guidance for Teachers/Assessors](#)

- Ensures the centre has appropriate accommodation at the registered address to support the size of the cohorts being taught, including appropriate accommodation for candidates requiring access arrangements for exams and assessments
- Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/) by the end of October each year confirming they are both aware of and adhering to the latest version of the JCQ regulations and signs and returns the head of centre's declaration which is then kept on file for inspection purposes
- Head of centre declaration – held on file in the exam office
- Ensures the exams officer (EO) receives appropriate support from relevant centre staff and enables the EO to attend appropriate training and other events in order to facilitate the effective delivery of exams and assessments within the centre (as example, EO networking events and relevant events offered by awarding bodies, MIS providers and other external providers)
- Ensures a named member of staff acts as the Special Educational Needs Co-ordinator (SENDCo)
- 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 candidate's preparation for the examination, is not an invigilator during the timetabled written examination or on-screen test..."* [\[ICE 12\]](#)
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
- appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
- access to the secure room and secure storage facility is restricted to the authorised 2-6 keyholders
- the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
- that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff
- Takes all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during the course of and after examinations have taken place

- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures staff are only entered for qualifications through the centre as a last resort where the member of centre staff is unable to find another centre
- Ensures the relevant awarding bodies are informed of any declaration/conflict of interest where a candidate is being taught, prepared, entered or sitting exams where a relevant member of centre staff has a personal connection to the candidate
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection

2.2 Examinations 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 \(PRS\)](#)

A guide to the special consideration process

- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October every year
- Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
- Informs the National Centre Number Register Team **immediately** (e-mail address – ncn@ocr.org.uk) if any changes occur after the National Centre Number Register annual update has taken place
- (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility

- Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- 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 and keeps a record of the content of training provided to invigilators for the required period
- Works with the ALS lead/SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials.
- 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 and keeps a record of the content of training provided to invigilators for the required period
- Supports the head of centre in ensuring that awarding bodies are informed of any declaration/conflict of interest involving candidates and relevant members of centre staff before the published deadline for entries
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

2.3 Head of School

- Decision making regarding entries of students to examinations other than those resulting from the curriculum at Holy Trinity School.
- Decision making regarding withdrawal of students from courses, in consultation with Year Leaders for Year 11 and Sixth form.

- Production of Key Stage 4 Options booklet (with Leader of Learning Year 9) and Sixth form prospectus (with Asst. Headteacher Sixth Form), including details of examinations and assessments involved.
- Decision making regarding any external examination candidates.
- To be 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 \(and the instructions for conducting coursework\)](#)

[A guide to the special consideration process](#)

2.4 [Instructions for conducting non-examination assessments \(and the instructions for conducting coursework\)](#)

Leaders of Learning/Subject Leaders:

- Annually checking the current viability and any altered requirements of their courses
- Consulting with their SLT line manager about any proposed changes to courses offered.
- Advising the Examinations Officer of any changes in examination boards or courses offered before the start of the academic year
- Providing up to date information about courses and examination requirements for curriculum publications
- Accurate completion of entry and all other mark sheets and adherence to deadlines as set by the Examinations Officer
- Accurate completion of coursework/controlled assessment mark sheets and declaration sheets
- Secure storage of controlled assessment materials
- Keeping up to date with requirements for the teaching of their subject, including procedures for conducting controlled assessments
- Ensuring that there are suitable resources available in order to prepare candidates for the examinations
- Providing training in the conduct of controlled assessment for all teachers of their subject Ensuring that all controlled assessment/coursework for their subject is

conducted and marked in accordance with exam board guidelines and making arrangements for the moderation of such work

- Guidance of candidates who are unsure about exam entries or amendments to entries
- Analysis of results for their subject and explanation to SLT of any anomalies

2.5 Teachers

- Preparation of students in their class for the relevant examinations
- Provision of data to track student progress throughout the course
- Communicating with parents about student progress towards targets
- Ensuring that all controlled assessments are conducted under the correct level of control as specified by the exam board
- Accurate marking of controlled assessments/coursework
- Provision of entry data and accurate prediction of grades for all students in their classes
- Liaison with their Subject Leaders and the SENDCo if there are any concerns about access arrangements for students in their classes
- Ensuring that students with SEN are supported during normal lessons in a way which prepares them for the access arrangements to which they are entitled

2.6 SENDCO:

- 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 ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

2.7 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

2.8 **Candidates:**

- Checking details of entries and informing the Examinations Officer of any omissions or errors
- Following coursework/controlled assessment regulations and signing a declaration that authenticates the coursework as their own
- Following the 'Candidate Exam handbook' produced by the Examinations Officer.
- Preparing for the examinations to the best of their ability
- Arriving at each examination at the correct time and with the correct equipment

3. **Qualifications offered at Holy Trinity C of E Secondary School**

- The qualifications offered at this centre are decided by Leaders of Learning and Subject Leaders in consultation with SLT
- The subjects and qualifications offered in any academic year may be found in the annual Curriculum Statement on the website, with further details in the KS4 options booklet and the 6th Form Prospectus

4. Exam seasons and timetables

1. **Exam seasons**

External exams are scheduled in November (retakes of GCSE Maths and English only), January and May/June.

2. **Timetables**

Subject Leaders are responsible for providing accurate information within the required time-frames to the Examinations Officer of their internal examination requirements. The Examinations Officer is responsible for drafting the internal examination timetable in consultation with the Head of School. The exams officer will circulate the exam timetables for both external and internal exams once these are confirmed

5. Entries, entry details, late entries and retakes

5.1 Entries

At key stage 4: Candidates who start a course leading to a qualification are entitled to be prepared and entered for that examination/assessment while they remain on role. In exceptional circumstances, the candidate may be transferred to a qualification of lesser value or withdrawn totally from certain examinations. This decision is made only where the candidate cannot gain a qualification with the original entry or medical issues mean that a reduced number of entries is needed. All withdrawals must be agreed by the Year Leader for Year 11 in consultation with the Head of School. Candidates cannot withdraw themselves from an examination.

At post-16: A levels are a two year course and AS exams will not be offered unless in extreme circumstances. Candidates who start a course leading to a qualification are entitled to be prepared and entered for that examination/assessment. In exceptional circumstances, the candidate may be transferred to a qualification of lesser value or withdrawn totally from certain examinations. This decision is made after every attempt has been made to enable the candidate to succeed and must be agreed by the Leader of Learning for Sixth form in consultation with the Head of School. Candidates cannot withdraw themselves from an examination.

Candidates who do not get the desired grade at the first attempt will usually be expected to pay for any retakes which they choose to enter. The school would only pay if there were circumstances beyond the student's control which led to under-performance in the first examination.

Subject Leaders and the subject teachers decide on a candidate's entry status in terms of tier of entry.

Requests for a subject entry, change of level or withdrawal, from a parent or candidate will be considered, but will only take place if it is deemed to be in the candidate's best interests by the Subject Leader, Year Leader and Head of School.

The centre does not accept entries from external candidates without consultation with SLT

5.2 Late entries

- Entry deadlines are circulated to Subject Leaders
- Late entries must be authorised by Subject Leaders
- Subject Leaders who make late changes to entries, will have the late entry/amendment fees deducted from their subject budget

5.3 **Retakes**

- Retakes of GCSE Maths and English will be supported and paid for by the school for all students who have not gained a GCSE grade 4 or above
- Retake decisions will be made in consultation with the candidates, subject teachers, examinations officer, Subject Leaders, Head of School and with reference to exam board regulations

(See also section 3 above and section 7: Exam fees)

6. **Procedures to verify the identity of candidates**

Every candidate will have their name and exam number on their examination desk. Teachers and Year Leaders will also be available outside the hall to assist with identification. All private candidates must produce identification which can be their driving license or passport.

7. **Exam fees**

- Where candidates have followed a course at the school, initial registration and examination entry fees are paid by the centre, while the students remain on role
- Late entry or amendment fees are paid by the student or departments, depending on who has asked for the amendment
- Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies
- Reimbursement will be sought from candidates who fail to sit an exam or meet the necessary coursework/controlled assessment requirements
- In the case where a candidate requests an enquiry and this is not supported by the centre, candidates must pay the fee for the enquiry

(See also section 12.2: Enquiries about results [EARs])

8. **The Disability Discrimination Act (DDA), Special Needs and Access Arrangements. DDA**

The Disability Discrimination Act 2005 extends the application of the DDA to general qualifications. Exam Centre staff must ensure that the access arrangements guidance is consistent with the law.

1. **Special needs**

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

individual staff of any special arrangements that individual candidates may be granted during the course and in the exam

2. Access arrangements

- Making special arrangements for candidates to take exams is the responsibility of the SENDCO and the Examinations Officer
- Submitting completed access arrangement applications to the awarding bodies is the responsibility of the SENDCO and Examinations Officer
- Rooming for access arrangement candidates will be arranged by the Examinations Officer working with the SENDCO.
- Invigilation and support for access arrangement candidates will be arranged by the Examinations Officer working with the SENDCO.
- Subject teachers who are concerned about whether a member of their group should have access arrangements should refer their concerns to their Subject Leader and SENDCO

3. Computer/Laptop use in exams

- A set of exam laptops is held by the exam office. These are prepared for use in exams according to exam board specification
- A member of the IT support staff is present at the start of all exams in which laptops or computers are being used
- In the event of laptop failure during an exam, a replacement will be found as soon as possible. The candidate will be reassured and the time added on
- The use of a laptop/word processor can only be granted if it reflects the support given as the 'normal way of working', which is defined as support:
 - In the classroom or
 - Working in small groups for reading/or writing or
 - Literacy support lessons; or
 - Literacy intervention strategies; and/or
 - Internal school tests, assessments and examinations

9 Managing invigilators

- External invigilators will be used for exam supervision for all external exams and for those internal exams which are part of the scheduled exam sessions in the hall
- Classroom teachers are responsible for supervising controlled assessments and other internal assessments
- Practical exams will be supervised in accordance with exam board regulations.

- The recruitment of invigilators is the responsibility of the exams officer with the support of the Deputy Headteacher (Curriculum)
- Securing the necessary DBS clearance for new invigilators is the responsibility of the Human Resources Manager
- DBS fees for securing such clearance are paid by the centre. Invigilators must be in school every 3 months to maintain this
- All Invigilators must receive Safeguarding Training on appointment and every year thereafter
- Invigilators are timetabled and briefed by the Examinations Officer
- Invigilators must attend formal training
- Invigilators' rates of pay are set by the centre administration in accordance with the relevant JDQ

10 Examination days

- The Examinations Officer will book all exam rooms after liaison with other users and make the question papers, other exam stationery and materials available for the invigilator(s).
- Site supervisors are responsible for setting up the allocated rooms
- The Examinations Officer or lead invigilator will start all exams in accordance with JCQ guidelines
- Subject staff/SLT may be present at the start of the external exam, by agreement with the Examinations Officer, to assist with identification of candidates but must not advise on which questions are to be attempted
- In practical exams, subject teachers may be on hand in case of any technical difficulties.
- Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed Subject Leaders the following day
- All absences will be reported and every effort made to get students into school in time to sit the examination.

10. Candidates, clash candidates and special consideration

1. Candidates

- Uniform regulations, the sixth form dress code and the school code of conduct apply at all times
- Candidates' personal belongings cannot be taken into the examination hall but 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 may leave the exam room for a genuine purpose which would result in an immediate return to the exam room, in which case a member of staff must accompany them
- The exams officer will attempt to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines

2. **Clash candidates**

The exams officer will be responsible as necessary for identifying escorts, identifying a secure venue and arranging overnight supervision

3. **Special consideration**

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

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

The exams officer will then forward a completed special consideration form to the relevant awarding body.

11. **Coursework and appeals against internal assessments**

1. **Coursework/Controlled Assessment**

- Candidates who have to prepare portfolios should do so by the centre defined deadline.
- Subject Leaders will ensure all coursework is ready for despatch at the correct time and the Examinations Officer will keep a record of what has been sent when and to whom.
- Marks for all internally assessed work are submitted to the Examinations Office by the Subject Leaders and will be input by the Subject Leaders/teachers

2. **Appeals against internal assessments**

The centre publishes a separate procedure on this subject, which is available from the Examinations Office.

The main points are:

- Appeals applying to the process leading to an assessment can be considered
- Candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification

- Appeals should be made in writing by 30 June to the Examinations Officer who will decide whether the process used conformed to the necessary requirements in consultation with the Deputy Headteacher (Curriculum)
- The outcome of the enquiry will be notified in writing and recorded for awarding body inspection

12. **Results, enquiries about results (EARS) and access to scripts (ATS)**

12.1 **Results**

- Candidates will receive individual results slips on results days in person at the centre.
- Arrangements for the school to be open on results days are made by the Examinations Officer
- The provision of staff on results days is the responsibility of the Examinations Officer, other admin staff can be redeployed to help with this

12.2 **EARS**

- EARS may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking
- When the centre does not uphold an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged. (See section 5: Exam fees)

12.3 **ATS**

- After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results
- If a result is queried, the Examinations Officer, teaching staff and head of centre will investigate the feasibility of asking for a review of marking at the centre's expense
- Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained

13. **Certificates**

- Certificates are presented in person and collected and signed for
- Certificates may be collected on behalf of a candidate by a third party, provided they have been authorised to do so
- The centre is only obliged to keep certificates for one year

14. Exam Malpractice

1. The Centre will minimise risk of malpractice by:

- Using the student handbook to inform learners of the centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice
- Showing learners, the appropriate formats to record cited texts and other materials or information sources
- Asking learners to declare that their work is their own using the forms supplied by the examination board
- Asking learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
- Ensuring that staff are fully aware of exam board regulations in relation to conduct of examinations, coursework, controlled assessments and AI.

2. Procedures in the event of suspicion of malpractice

Conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Deputy Headteacher (Curriculum) and all personnel linked to the allegation. It will proceed through the following stages:

1. Make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven.
2. Inform the examination board that an enquiry is taking place
3. Gather statements from the reporting member of staff
4. Give the individual the opportunity to respond in writing to the allegations made
5. Inform the individual of the avenues for appealing against any judgment made
6. Document all stages of any investigation in accordance with guidelines in the JCQ document "Instructions for conducting exams"

3. Where malpractice is proven:

The school will inform the candidate and their parents of the penalties as advised by the exam board.

This Policy takes account of and is fully consonant with our School Ethos Statements and our obligations under our Equality and Diversity Policy.

15. Links to other policies

This policy should be read together with

- The Assessment policy
- The Curriculum policy
- Fire and Evacuation Policy
- The Equality and Diversity Policy
- Word Processor Policy

Appendix A

Definition of Malpractice by Learners

- This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:
- Plagiarism of any nature
- Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work
- Copying (including the use of ICT to aid copying)
- Deliberate destruction of another's work
- Fabrication of results or evidence
- False declaration of authenticity in relation to the contents of a portfolio or coursework
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test

Definition of Malpractice by School Staff

- This list is not exhaustive and other instances of malpractice may be considered by this school at its discretion:
- Improper assistance to candidates
- Inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made
- Failure to keep candidate coursework/portfolios of evidence secure
- Fraudulent claims for certificates
- Inappropriate retention of certificates

- Assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner
- Producing falsified witness statements, for example for evidence the learner has not generated
- Allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework
- Facilitating and allowing impersonation
- Misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- Falsifying records/certificates, for example by alteration, substitution, or by fraud.
- Fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment

Appendix B: Risk Assessment

Risks and issues	Possible remedial action		Staff
	Forward planning	Action	
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	Subject Leader
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	Class Teacher, Subject Leader, Examinations Officer,
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Class teacher to alert Examinations Officer
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	Inform candidate(s) and their parents of new arrangements	Class teacher – keep Subject Leader informed
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	Examinations Officer, RBr/GSA

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.	Plan dates in consultation with school calendar – negotiate with other parties	RBr/GSA in consultation with Subject Leaders
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	RBr/GSA in consultation with Subject Leaders
Assessment time lost due to school closure (e.g. snow days)	Allow for some slack in the schedule, particularly over the winter months.	Leader of Learning to advise RBR and reschedule as soon as convenient for department and candidates.	Subject Leaders
Accommodation			
Insufficient space in classrooms for candidates	Once group sizes are known, flag instances where regular classroom space may not be suitable to conduct controlled assessment	Use more than one classroom or multiple sittings where necessary	Subject Leader Cover team
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities	Negotiate alternative accommodation.	Class Teacher, Subject Leader Cover team
Room unexpectedly unavailable on day of assessment (e.g. flood, broken window)	N/A	Class teacher to ensure alternative accommodation is suitable or reschedule.	Class teacher with Cover team

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Control levels for task taking			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	Subject Leaders with Examinations Officer
Supervision			
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	Further training and targets for teacher concerned.	Subject Leaders
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are not supervising e.g. staff absence, additional sessions.	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.	Ensure that controlled assessment is flagged up on any cover/additional assessment request Leader of Learning to check suitable arrangements in advance if possible or at start of day and consult with Cover/Examinations Officer about any concerns.	Class teacher Subject Leaders Cover Team Examinations Officer