

Controlled Assessments Policy

This policy has been written for...	The administration of Controlled Assessments
Copies of this policy may be obtained from...	<ul style="list-style-type: none"> • The School web site. • It is available as a hard copy on request from the school office. • Hard copies for reference are filed in the staff room
This policy links with the following policies	<ul style="list-style-type: none"> • Exams Policy • Access Arrangements
Participants and consultees in the formulation of this policy were...	Vice Principal Teaching & Learning, Exam Officer, Heads of department
Edition, Review frequency and dates	<p>Policy released November 2017</p> <p>This policy will be reviewed every two years.</p> <p>Policy due for review: November 2019</p>
Relevant statutory guidance, circulars, legislation & other sources of information are...	<ul style="list-style-type: none"> • Changes to GCSEs, including controlled assessment: Information for teachers QCA/09/4174 • Changes to GCSEs and the introduction of controlled assessment for GCSEs(for exams office staff) QCDA/09/4363
The Lead Member of staff is	<ul style="list-style-type: none"> • Vice Principal, Curriculum and Quality
Definitions and key terms used in this policy...	<ul style="list-style-type: none"> • This document is intended to be read by a wide audience. As such, no jargon or technical terms are used.
The Rationale and Purpose of this policy	<ul style="list-style-type: none"> • To ensure that all examinations are conducted in line with Examination Standards of practice
Appendices	<p>This policy has two appendices:</p> <ul style="list-style-type: none"> • A Outlining Staff responsibilities • B Risk Management Process • C JCQ Instructions for conducting Controlled Assessments (GCSE Qualification) • D Staff Questionnaire

Introduction

- This policy sets out the School's arrangements for conducting Controlled Assessments from September 2015

The Aims of this policy

- That all pupils' staff and parents are aware of the practices in relation to controlled Assessment processes.

The Objectives to meet the above aims

The above aims will be met through the following by focussing on the following objectives:

1. That Controlled Assessments are conducted in line with regulations.

Procedures & Practices relating to the implementation of this policy

1. It is the responsibility of each Curriculum Leader to obtain the controlled assessment task details from the exam boards.
2. The Curriculum Leader should choose the most appropriate time for the controlled assessment to take place and inform the Exams Manager of the date(s) as early as possible in the academic year.
3. The Exams Manager will produce a calendar of Controlled Assessments and circulate to all staff to avoid clashes with school trips or other activities.
4. The Controlled Assessment may take place during timetabled class time.
5. Departments must plan when and how the assessment will take place, taking into account the accommodation and resources required. The Exams Manager should be notified when high level controlled assessment is taking place.
6. Relevant display materials must be removed or covered up.
7. All staff must be aware of the relevant level of control permitted (high, medium or low) as this will determine the level of permitted supervision e.g. high control means that students are under exam conditions.
8. Each student is to keep a research diary where they note the guidance and feedback received from their teacher. The diary should also contain a record of the research and planning stage containing notes, diagrams, essay plans and bibliography.
9. All assessment materials must be locked in a suitable secure cabinet at the end of each session.
10. Separate user accounts for exam use must be used for high control level work. These must have no access to internet or e-mail and must only be accessible during the controlled sessions. If work is saved on memory sticks these must be collected in after each session and locked away as in 8 above.
11. If a student is absent, the teacher must allow that student the chance to make up the time if necessary.

12. For long absences, special consideration should be applied for.
13. Entries for controlled assessment must be made at the appropriate time.
14. Attendance records from assessment sessions should be kept by the class teacher.
15. Work may be handwritten in black ink or word processed. Printouts, charts and videos can be included where appropriate.
16. Where the specification permits students to work with others, e.g. during collection of data, any descriptions of the joint work must be in each candidate's own words.
17. Where work is assessed by the teacher and externally moderated by the exam board, standardisation of marking must take place in the school if more than one teacher is involved in the assessing.
18. If suspected malpractice occurs, Exams Manager must be Informed who will inform the Vice Principal.
19. If a student's work is lost within the school, this must be reported to the exam board.
20. Authentication forms must be signed by the teachers and candidates.
21. Access arrangements do apply to controlled assessment.
22. The assessment marks must be submitted to the exam board by the appropriate date.
23. Candidates' work must be securely stored as in 8 above until all results have been verified.
24. Re-sits of controlled assessment may be allowed in the next exam session.
25. After the results are published it may be possible to request a re-moderation of the work.

Persons with particular responsibilities

- Vice Principal - Curriculum & Quality
- Exams Officer
- Heads of department

Other Participants & Stakeholders

Monitoring & Evaluation

Exams Officer and Leaders of departments to attend regular and relevant courses in relation to the developing and changing exams provision.

Appendix A

Outlining staff responsibilities - GCSE controlled assessment

Senior leadership team should ensure that all those conducting Controlled Assessment have a copy of JCQ Instructions and have read and understood them.

- 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.

Heads of department/faculty

- Decide on the awarding body and specification for a particular GCSE.
- Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirement in accordance with the awarding body specification.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

Teaching staff

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments* and that they complete the form and give to the Vice Principal Curriculum and Quality to state that they have done so.

- 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.
- Complete and take action where necessary as shown on Controlled Assessment checklist.
- To ensure they attend appropriate training
- Supply to the exams office details of all unit codes for controlled assessments.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the appropriate special educational needs coordinator (SENCO) for any assistance required for the administration and management of access arrangements.

Exams office staff

- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute 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.

Appendix B

Risk Management Process

Example risks and issues	Possible remedial action		Staff (<i>use 'RACI' to determine who should be listed</i>)
	<u>Forward planning</u>	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	Vice Principal Teaching & Learning
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	Heads of Department
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	Heads of Department / Exams Officer
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Heads of Department / Exams Officer

Risk Management Process

Example risks and issues	Possible remedial action		Staff (<i>use 'RACI' to determine who should be listed</i>)
	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	Heads of Department
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	Heads of Department / Exams Officer
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Heads of Department / Exams Officer
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Heads of Department / Exams Officer
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	Heads of Department / Exams Officer

Risk Management Process

Example risks and issues	Possible remedial action		Staff (<i>use 'RACI' to determine who should be listed</i>)
	<u>Forward planning</u>	<i>Action</i>	
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	Vice Principal Teaching & Learning Heads of Department / Exams Officer
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	Heads of Department
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		Vice Principal Teaching & Learning/ Heads of Department
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.		Heads of Department / Exams Officer

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

Risk Management Process

Example risks and issues	Possible remedial action		Staff (<i>use 'RACI' to determine who should be listed</i>)
	<u>Forward planning</u>	<i>Action</i>	
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	Vice Principal Teaching & Learning/ Heads of Department
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	Vice Principal Teaching & Learning / Heads of Department
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Heads of Department / Exams Officer
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	Heads of Department / Exams Officer
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Exams Officer

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

Risk Management Process

Example risks and issues	Possible remedial action		Staff (<i>use 'RACI' to determine who should be listed</i>)
	<u>Forward planning</u>	<i>Action</i>	
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.	Heads of Department
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	Vice Principal Teaching & Learning / Heads of Department
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	Heads of Department
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	Heads of Department

Risk Management Process

Example risks and issues	Possible remedial action		Staff (<i>use 'RACI' to determine who should be listed</i>)
	<u>Forward planning</u>	<i>Action</i>	
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	Vice Principal Teaching & Learning/ Heads of Department
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.	Vice Principal Teaching & Learning / Heads of Department

Appendix C

Joint Council for Qualifications: Please control and click [here](#) to view Joint Council for Qualifications Instructions for conducting controlled assessments (GCSE Qualifications)

Appendix D

Staff Questionnaire: Please control and click [here](#) for Questionnaire.