



## CONTROLLED ASSESSMENTS POLICY

Updated September 2017  
Approved by the Principal

### 1. Rationale

1.1 The governing body is committed to the safe and secure conduct of controlled assessments in the best interests of students and with clear guidelines for all relevant staff.

### 2. Policy

- 2.1 All controlled assessments will comply with JCQ guidelines contained in the document 'Instructions for Conducting Controlled Assessments' of which every subject leader has a copy. There is also a copy in the Staff Files section of the intranet.
- 2.2 All controlled assessments will also adhere to awarding bodies' subject-specific guidelines.
- 2.3 Every student will be given a copy of the relevant JCQ 'Notice to Candidates' before undertaking his/her first controlled assessment. This notice is also posted outside the Examinations Office and in the examinations section of the school website.
- 2.4 As far as is possible the Head of Centre will ensure that controlled assessments are spread throughout the duration of KS4 in the interests of students' workload and resource management, especially with regard to the use of ICT facilities.
- 2.5 The school will ensure that access arrangements and special consideration guidelines are adhered to in relation to controlled assessments as they are with regard to formal written examinations.

### 3. Guidelines

3.1 Subject Leaders will:

- decide on the specification to be followed, in consultation with other teachers in the department and the Principal.
- ensure that they and individual teachers for whom they have responsibility are aware of and comply with all relevant guidelines from JCQ and awarding bodies.
- 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.

- standardise the marking of all teachers involved in assessing an internally assessed component.
- where appropriate develop new assessment tasks or contextualise sample assessment tasks to meet local conditions.
- supply to the Examinations Officer in good time all requested details concerning unit codes, entries and marks
- 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
- ensure that students and supervising teachers sign authentication forms on completion of the assessment
- monitor the completion and marking of controlled assessments by subject teachers within their area of responsibility
- post completion retain candidates' work securely in a locked store or cupboard (for hard copies) or on a secure area of the school network which is subject to regular back-up for electronic copies until after the closing date for enquiries about results. If such an enquiry is submitted, retain candidates' work securely until the outcome of that enquiry and any subsequent appeal has been conveyed to the centre.

### 3.2 Teaching Staff will:

- understand and comply with the general guidelines contained in the JCQ publication 'Instructions for conducting controlled assessments'.
- understand and comply with the awarding body's subject specific requirements for conducting controlled assessments.
- supervise assessments at the specified level of control and undertake the tasks required under the regulations only permitting assistance to students as the specification allows.
- ensure that they and their students sign authentication forms on completion of an assessment.
- mark internally assessed components within a reasonable period of time following completion using the mark scheme provided by the awarding body and submit marks when required to the Examinations Office, keeping a record of the marks awarded.
- retain candidates' work securely between assessment sessions where more than one such session is required.

### 3.3 SENCO will:

- ensure access arrangements have been applied for where necessary.
- work with teaching staff to ensure requirements for support staff are met
- liaise with teaching staff and the Examinations Officer to ensure appropriate accommodation and facilities are available for access arrangement students.

### 3.4 Examinations Office Staff will:

- enter students for individual units as requested by teaching staff before the entry deadline.
- enter students' 'cash-in' codes for the terminal examination series.
- be responsible for the receipt, safe storage and transmission to teaching staff of confidential materials received directly by the Examinations Office.
- download and distribute marksheets as required and collect and send completed marksheets to awarding bodies before deadlines.
- assist departments to find suitable accommodation for controlled assessments.

#### **4. Monitoring, Evaluation and Review:**

4.1 This policy will be monitored by the Examinations Officer and evaluated and reviewed every three years by the Principal.

**For use by exams office staff**

## **Controlled assessment**

### **Risk management process (editable template)**

This editable template examines potential risks and issues relating to the implementation of controlled assessment for GCSEs and Diploma principal learning and how these might be managed and mitigated through forward planning and remedial actions. We hope it will provide a useful starting point for exams office staff when discussing with other colleagues risks and issues that might apply to their individual centres or consortium.

The QCDA factsheet *Planning and managing controlled assessment for GCSEs and Diploma principal learning* and the editable document *Outlining staff responsibilities* could be used to support your centre or consortium in allocating risks and issues to the appropriate roles.

#### **Using the risk management process template**

The list of possible risks and issues featured in this template is purely illustrative for individual centres or consortia to consider and adapt to their own needs and there are blank rows under each heading for you to fill in.

A blank column entitled 'Staff' has been included on the template so centres/consortia can list: the person (or role):

- **Responsible** for the risk/issue
- **Accountable** for the risk/issue
- Who should be **Consulted** about this risk/issue
- Who should be **Informed** should the risk/issue arise.

A definition of these roles and this process (commonly abbreviated as 'RACI') can be found in the *Consortium responsibility chart*, on the *Diploma resources* web page on [www.qcda.gov.uk](http://www.qcda.gov.uk).

Any adapted list of risks and issues should be reviewed and approved by appropriate members of the senior leadership team to ensure that it is fit for purpose and compatible with the existing policies and procedures of the centre or consortium. The review should be repeated at regular intervals and kept up to date.

*Please note: the above guidance is not part of the template and should not be altered*

### Risk management process

Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
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	SLT/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	HoF/Subject Leaders
<b>Accommodation</b>			
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	Subject Leaders/ Room bookings co-ordinator/LS
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Subject Leaders/IT dept/Room bookings co-ordinator/LS

### Risk management process

Risks and issues	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/IT Dept/DN
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	Subject Leaders/DN
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Subject Leaders
Validity of assessment	Check task validity date	Ensure task is still valid for year of entry of unit	Subject Leaders
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Subject Leaders
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	Subject Leaders/DN

### Risk management process

Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Control levels for task taking</b>			

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/ Teaching Staff/DN
<b>Supervision</b>			
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	Subject Leaders /Teaching staff
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		SLT/HoF/Subject Leaders/Teaching staff
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are <b>not</b> 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.		HoF/Subject leaders/Cover supervisor

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

### **Risk management process**

Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Task setting</b>			
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	Subject leaders/DN
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	Subject Leaders
<b>Security of materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	HoF/Subject Leaders
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	HoF/Subject Leaders
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	HoF/Subject Leaders

\*\* 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

Risks and issues	Remedial action		Staff
	Forward planning	Action	



<b>Deadlines</b>			
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.	Subject leaders/ Teaching staff/DN
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	HoF/Subject Leaders/DN
<b>Authentication</b>			
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	Subject Leaders/Teaching staff
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	Subject Leaders/Teaching staff

### **Risk management process**

<b>Risks and issues</b>	<b>Remedial action</b>		<b>Staff</b>
	<b>Forward planning</b>	<b>Action</b>	
<b>Marking</b>			
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	HoF/Subject Leaders/Teaching staff

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.	HoF/Subject Leaders
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# CENTRE POLICY FOR RECEIVING, CHECKING AND STORING EXAMINATION PAPERS AND MATERIALS SAFELY AND SECURELY

- ALL DELIVERIES FOR THE EXAMINATIONS OFFICER TO BE RECEIVED VIA NORTH SCHOOL OFFICE
- ANY ATTEMPTED DELIVERY TO SOUTH SCHOOL **SHOULD NOT** BE ACCEPTED AND THE COURIER SHOULD BE ASKED TO DELIVER TO NORTH SCHOOL RECEPTION
- NORTH SCHOOL RECEPTION TO SIGN FOR DELIVERY AND COMPLETE EXAM PARCELS RECEIPT BOOK ONCE DELIVERY HAS TAKEN PLACE
- INFORM EXAMINATION OFFICER IMMEDIATELY DELIVERY HAS BEEN MADE SO PARCELS CAN BE MOVED TO THE SECURE STORAGE AREA
- IF THE EXAMINATION OFFICER IS NOT AVAILABLE NORTH SCHOOL OFFICE STAFF SHOULD CONTACT OTHER SECURE STORAGE KEY HOLDERS: ANDREW FRENCH OR MALCOLM BUTCHER. IF THEY CAN NOT BE CONTACTED THEN THE PARCELS SHOULD BE PLACED IN A LOCKED/SECURE PLACE WITH LIMITED ACCESS AND MESSAGES LEFT WITH DN, MRB & AJF.
- EXAMINATIONS OFFICER TO CHECK QUESTION PAPERS AND EXAMINATION MATERIAL CAREFULLY AGAINST AWARDING BODY PACKING NOTES
- EXAMINATIONS OFFICER TO INFORM THE AWARDING BODIES IMMEDIATELY IF THERE ARE ANY PROBLEMS WITH THE DELIVERY
- IF QUESTION PAPERS CANNOT BE CHECKED IMMEDIATELY UPON RECEIPT THEY MUST BE LOCKED AWAY IN THE SECURE STORAGE AREA
- **ANY COURIER DELIVERIES MADE AFTER 4PM (3.30PM ON FRIDAYS) SHOULD NOT BE ACCEPTED. AND THE COURIER SHOULD BE ASKED TO RE-DELIVER THE NEXT WORKING DAY.**