St Richard's Catholic College

Controlled Assessments Policy

The Policy was approved by the Governing Body: September 2017

Chair of Governors:_____

The Governing Body will review the policy in September 2018

INTRODUCTION

CONTROLLED ASSESSMENTS replaced coursework and JCQ along with the exam boards are bound to introduce measures that improve the guarantee that a candidate's submissions are solely the work of that candidate, and any additions, advice and references are clearly acknowledged.

- This policy follows the advice of the JCQ, 'instructions' and advice, together with the 'orders' published by the particular exam board for a particular subject area and specification.
- Each exam board has published advice for all involved in controlled assessments, together with detailed subject specific guidance, dealing with the idiosyncrasies of that particular subject area.
- Each subject area at St Richard's is expected to be guided by these documents with particular attention to the subject specific documents from their exam board.
- In addition to the external advice our policy has two additional sections: a generic set of instructions applicable to all subject areas and specific advice from each of the subject areas confirming as to exactly how and when they intend to micro manage controlled assessments for their subject area(s). The latter will be updated each year.
- An appropriate form is provided to record each subject area's procedures for conducting controlled assessments. These forms are the responsibility of the Subject Leader and should be completed and returned to the Exams Officer at the start of each academic year. They should be reviewed on a regular basis and updated as necessary.

ADVICE FROM BOTH JCQ AND THE EXAM BOARDS

- JCQ has advised all centres that controlled assessment policies will be inspected by their exam inspectors and they reserve the right to see evidence that what is in the policy is able to be witnessed in the procedures and practice of the centre, in particular secure storage and the conditions under which the various tasks are undertaken by candidates.
- Two appendices follow the main part of this policy document: outlining staff responsibilities; the risk management process/responsibilities.
- A Controlled Assessment timetable is published at the start of each academic year and published in the School Diary.

INSTRUCTIONS FOR CONDUCTING CONTROLLED ASSESSMENTS

- Follow the advice given by the exam board for your subject area and specification; there are variations between subjects.
- Controlled assessments are able to be completed at any time throughout the course; the formal submission to the exam board does not necessarily have to follow immediately upon the completion of the controlled assessment.
- All assessment materials and candidates' work for assessment must be stored securely within departmental subject areas. Secure storage is defined as a secure locked steel cabinet, a metal cabinet or similar cabinet, a purpose built classroom storage cupboard with a securely locked door. Where there is a need 'secure storage' may be defined as a locked classroom from one end of a session to the start of the next.
- Task setting: controlled assignments will usually be set by the exam board but not necessarily involve timed written papers. All tasks, whether set by an Awarding Body

or set by the centre, must be developed in line with the requirements of the specification. The centre should ensure that candidates know the assessment criteria which they are expected to meet. Any explanation or interpretation given by teaching staff must be general and not specific to a candidate's work.

- Task taking: supervision; there are three levels of supervision, high, medium and low; any one task might involve all three levels of supervision. This will depend on the specification and exam board directives.
- LOW or 'limited' level of control: candidates can work unsupervised outside the classroom e.g. research. The requirements are clearly specified by the Awarding Body.
- MEDIUM or 'informal' level of control: candidates do their analysis and selection under informal supervision. The use of resources is not tightly prescribed and group work is normally permitted provided that any assessable outcomes can be attributed to individual candidates. The centre must ensure that each candidate's preparation for the final production of the work is their own.
- HIGH or 'formal' level of control: candidates write up their task in a supervised classroom environment; there must be no communication between candidates who must not use a mobile phone or any electronic communication device.
- Those responsible for the controlled assignment (HIGH level of control) should maintain records of the date and times of the assessment, the name of the supervisor(s), a candidate register noting absentees, and a log of any incidents which occur during the course of the assessment.
- All tasks can be submitted as hand written copy. There is no rule that the final form of the assessment has to be word processed. Written material submitted to the exam board must be in black ink.
- If candidates are able to use a word processor for the final submission, completed under formal supervision, there must be no use of any electronic communication device, in particular access to e-mail, the internet and mobile phones must not be permitted. The candidates must be under close supervision at all times.
- The Subject leader is responsible for the organisation of the use of all IT equipment. All access to such facilities and the close supervision of their use, are the responsibility of the department.
- If 'memory sticks' are used these must be 'clean' and clear from the start of preparation for the task and securely stored between controlled sessions.
- Where candidates are using electronic storage facilities, e.g. CDs, DVDs, laptops, memory sticks, MP3 players, appropriate checks must be undertaken to ensure that only permitted material is introduced into the assessment environment.
- Careful reference must be made to the relevant Awarding Body's specification which may set certain parameters for teaching staff where limited supervision is to be applied.
- Candidates must acknowledge any references they make to published resources, including printed material and the internet. They must give detailed references even where they paraphrase the original material.
- The final work submitted to the exam board must be solely that of the candidate.
- In the event that videos or photographs/images of candidates are included as evidence of individual participation or contribution, Subject Leaders must obtain informed consent from parents/carers.

- For moderation or external marking purposes, the cover sheets provided by the Awarding Body must be marked clearly with the candidate's name and number of the centre, (centre number: 56665), the specification title or code and the component/unit title or code. If an assignment is word processed the candidate must ensure that their name appears on each page as a header or footer.
- All candidates and teacher/assessors are required to sign and confirm that all work submitted is solely that of the candidate.
- If during the external moderation process, there is no evidence that the work has been properly authenticated, the Awarding Body will set the associated mark(s) to zero.
- If malpractice is suspected, the Examination Officer should be consulted about the procedure to be followed. (JCQ) Usually if doubt persists a zero mark will have to be awarded at least for that unit of work, or a new task set up.
- Where controlled assessments are internally marked and externally moderated, the Subject Leader is responsible for the internal process of standardisation checking that each candidate has been assessed to the same standard. This person should sign the Centre Declaration Sheet to confirm that internal standardisation has taken place.
- Where a teacher teaches his or her own child, the centre must declare the conflict of interest and send the marked work to the moderator whether it is part of the sample or not.
- Submitted marked work must contain evidence in support of the marks awarded including some indication as to where and when the assessment criteria have been met.
- Following completion of the marking and of internal standardisation, the work must be retained by the centre in secure storage and not returned to the candidates.
- The Exams Officer will inform candidates in Years 10 and 11 of the JCQ regulations concerning malpractice, usually through assemblies and individual warning notices from JCQ. Teachers are also expected to remind candidates that their submitted work must always be their own and that all references and resources brought into the final submissions, acknowledged.
- Problems, suspicions, concerns of malpractice must be referred immediately to the Exams Officer. Such problems will be dealt with on an individual basis.
- Forms supplied by the Awarding Body for recording final marks for internally assessed controlled tasks, are the responsibility of the Subject leader who ensures their completion in accordance with the instructions given and their return to the Awarding Body by the date specified.
- If further evidence of the centre's marking is required, the moderator may request some or all of the remaining work, which must have been kept securely and be available.
- Centres are required to retain candidates' marked work under secure conditions until all possibility of enquiries about results has been exhausted. This will normally be at the beginning of the October following the Year 11's departure the previous July. Each subject area is responsible for the safe storage of its marked controlled coursework.
- Absent candidates should be given the opportunity to make up the missed controlled assessment. An alternative supervised session should be organised within the department/subject area with as necessary a different task.
- If a candidate's work has been lost within the examination centre and despite every effort it cannot be found, or it has accidentally been destroyed, the circumstances should be reported immediately to the Awarding Body. (Form 15 JCQ/LCW)

- If the work is lost as a result of negligence on the part of the candidate, no mark can be awarded.
- If a candidate arrives part way through the course, and very little or nothing seems to match up, the Subject Leader must consult the Awarding Body at the earliest opportunity for advice about appropriate arrangements for individual candidates. At the final submission the Subject Leader/teacher must feel confident to confirm that all the candidates' final submissions are entirely their own work, otherwise there could be a case of malpractice to answer.
- Candidates who wish to re-do their submission of a controlled assessment before the marks have been sent to the Awarding Body may do so at the discretion of the centre; the decision is the responsibility of the Subject Leader. Any candidate may use the research carried out for the original task. The work presented for the assessment must be entirely new.
- ACCESS ARRANGEMENTS apply to all controlled tasks; the use of a scribe, reader, extra time, the necessary ise of a word processor, are only allowed if born of regular classroom practice and supported by tests/assessments. They cannot be casually decided on the day or simply with an unsolicited letter from parents. Applications for access arrangements should be made in the normal way.

GCSE EXAMS

Each subject area is now required to write their 'chapter' to complete this whole school policy. This should be completed as soon as possible as JCQ has announced that from this September they will request these policies as part of their general inspection requirements. I would suggest that a quick read of the general school policy will help but I have taken the liberty of offering (below) a number of questions or prompts as a possible aid to composition.

1. Introduction; a brief outline of the final assessment requirements including the controlled assessments, mentioning the official name of the subject and the exam board and those responsible for this subject and final assessments.
2. Where/how do you gain access to the controlled tasks/assignments?
3. What are the controlled assessments for your subject area; how long/time allocation for each and when approximately will they be set?
4. Are there tiers of 'entry' and/or some form of grading of difficulty? Effect?
5. How long is each? Are they continuous?
6. How will each be tackled? Where will candidates work these assessments?
7. Under what conditions will candidates tackle these assignments? Board's requirements?
8. What preparation will candidates be allowed/encouraged/expected?
9. What help will they be allowed during these controlled assessments? Notes/equipment/advice?
10. Secure storage? Between sessions and long term? This includes both candidates' work and the titles/materials 'downloaded' for these controlled assessments. Must be lockable and preferably metal.
11. Access arrangements and special consideration, both apply as for the formal exam. The former must be based on regular classroom practice and applied for via KT/TLC. Sometimes the exam board might require 'special consideration' candidates to tackle an alternative task when all is well again; please check with the board.
12. What is the process for marking these controlled assessments? Who is responsible?

13. Who has overall responsibility for these tasks and would be the first 'port of call' when the JCQ inspector arrives in school.

Outlining staff responsibilities - GCSE controlled assessments

Leadership and Management 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 Subject Leaders to schedule controlled assessments. (It is advisable that controlled assessments are spread throughout the academic years of Key Stage 4.)
- Map overall resource management requirements for the academic 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)
- Ensure that all staff involved have a calendar of events.

Subject Leaders

- Decide on the awarding body and specification for a particular GCSE.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers fully understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers fully understand the requirements of the awarding body's specification, are familiar with the relevant teachers' notes **and** any other subject specific instructions.
- Where appropriate, develop new assessment tasks or adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body's specification and control requirements.

Teaching Staff

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body's specification for conducting controlled assessments, including any subject-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.
- 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 candidates as the specification allows.
- Ensure that candidates and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark scheme provided by the awarding body. Submit marks to the awarding body by the published deadline, 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 SENCo or Learning Support Administrator for any assistance required for the administration and management of access arrangements.

Exams Office Staff
- 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 mark sheets for teaching staff to use.
- **In exceptional circumstances** where controlled assessments cannot be conducted in the classroom, arrange suitable accommodation where controlled assessments can be carried out at the direction of the LMT.

Special Educational Needs Co-ordinator (SENCo)
- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.

RISK MANAGEMENT PROCESS

Example risks and issues	**Possible remedial action**		**Staff**
	Forward planning	***Action***	
Timetabling			
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	
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 sometime between them	
Accommodation			
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	
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		

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

Example risks and issues	**Possible remedial action**		**Staff**
	Forward planning	***Action***	
Control levels for task taking			
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	
Supervision			
Pupil 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	
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		
A suitable supervisor has not been arranged for an assessment where teaching staff are **not** 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		

* 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***	
Task setting			
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	
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	
Security of materials			
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	
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	
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	

Example risks and issues	Possible remedial action		Staff
	Forward planning	***Action***	
Deadlines			
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	
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	
Authentication			
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	
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	

Example risks and issues	Possible remedial action		Staff
	Forward planning	***Action***	
Marking			
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	
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	