



Trinity High School

& S I X T H F O R M C E N T R E

An Independent State Funded Academy

CONTROLLED ASSESSMENT POLICY

To be read in conjunction with the following policies:

- JCQ Instructions for conducting examinations (Yellow Book)
- JCQ Adjustments for candidates with disabilities and learning difficulties (Orange Book)
- JCQ General Regulations for Approved Centres (Blue Book)
- Internal Appeals Policy

School Policy: available on website

Staff Policy: available on r-drive

Reviewed:	July 2018
Interim Review:	Dec 2018
Adopted by Governing Body:	29 Jan 2019
Review date:	Dec 2020
Policy Responsibility:	Mr Thomas



Controlled Assessment Policy

The purpose of this policy is:

- To ensure the school is able to adhere to its responsibilities for managing controlled assessment
- To ensure the planning and management are conducted efficiently and in the best interests of the candidates

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

This controlled assessment policy will be reviewed every two years by the exams officer.

Related Policies and Documents

- JCQ Instructions for conducting examinations (Yellow Book)
- JCQ Adjustments for candidates with disabilities and learning difficulties (Orange Book)
- JCQ General Regulations for Approved Centres (Blue Book)
- Internal Appeals Policy

Appendices

1. Risk Management Process
2. Controlled Assessment Log
3. Controlled Assessments – Notice to Staff (Sept `16)

Staff responsibilities in planning and managing GCSE controlled assessments

Senior Leadership Team

- Accountable for the safe and secure conduct of controlled assessments.
- Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments 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.
- 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.
- 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 appropriate special educational needs coordinator (SENCo) 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 marksheets 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 senior leadership team.

Special education needs coordinator/additional learning support

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

Risks and Issues	Remedial action		Staff
	Forward Planning	Action	
Timetabling			
Controlled assessment schedule clashes with other activities	Plan/establish priorities well ahead (eg. At the start of the academic year)	Plan dates in consultation with school calendar – negotiate with other parties	Head of Faculty Exams Officer
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates sometime between them	Head of Faculty Exams Officer
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	Head of Faculty Subject teachers Exams Officer (if required to help arrange rooms)
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/centre facilities	Book additional rooms via Data Administrator ahead of time	Head of Faculty Data Administrator
Downloading awarding body set tasks			
IT System unavailable on day of assessment	Download takes well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	IT support Head of Faculty Exams Officer
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	IT support Head of Faculty Exams Officer
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement takes; download again	Exam Officer IT Support
Subject lead is off and cannot receive downloaded materials	Download tasks ahead of time so that the subject lead has them ready.	Arrange that the Second in lead of subject will receive the tasks instead, as an emergency	Head of Faculty Exams Officer Department Second
Absent candidates			
Candidates absent for all or part of the assessment (various reasons)	Plan alternative session(s) for candidates(s)	Ensure there is potential for an alternative session provision for absent students	Head of Faculty
Risks and Issues	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	Seek guidance from the awarding body	Head of Faculty

	involved. Provide training if required		
Supervision			
Student study diary/plan not provided or completed*	Ensure teaching staff are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	Teachers
Teaching staff do not understand that the supervision of controlled assessment is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments	Brief all teachers conducting controlled assessments on the requirements from the instructions for conducting controlled assessments	Head of Faculty
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	Plan ahead and arrange suitable cover with the Data Administrator in advance	Head of Faculty Exams Officer
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 specifications**	Seek guidance from the awarding body	Head of Faculty Teachers
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	Head of Faculty Teachers
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	Head of Faculty Exams Officer
Candidates' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Seek guidance from the awarding body.	Head of Faculty Exams Officer Teachers
Risks and Issues	Remedial action		Staff
	Forward Planning	Action	
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the course	Find alternative storage within the centre if not available within the department	Head of Faculty Exams Officer
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	Head of Faculty Teachers

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 be processed and submitted ahead of awarding body deadlines)	Seek guidance from awarding body	Head of Faculty Exam Officer Teachers
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	Teacher Head of Faculty
Teaching staff fail to complete authentication forms for 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	Head of Faculty Exams Officer
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	Head of Faculty Exams Officer
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	Head of Faculty Exams Officer

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

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

Appendix 2

Controlled assessment security and tracking

Faculty

Subject

Assessment Title

Date of Assessment

Date assessment downloaded/printed	Name and signature	Locked in secure storage – Signature and date	Removed for assessment – signature and date	Completed assessments returned to secure storage – signature and date	Removed for marking – signature and date	Returned to secure storage – signature and date

Appendix 3

Trinity Controlled Assessments – NOTICE TO STAFF

19th September 2016

Please read the following excerpts from the document attached – *JCQ Instructions for conducting controlled assessments*.

Please follow the instructions for the collection and storage of all Controlled Assessment work.

Please note that it is the **class teacher's** responsibility to follow these instructions to the letter. Locked filing cabinets or cupboards are appropriate or your Faculty Office if there is no-where suitable in the classroom.

If candidates work is mislaid or lost it is your responsibility.

If you have any concerns over the suitability of storage please see either EJC or me.

Many thanks for your co-operation.

TT

Candidates' work for assessment

4.9 Keeping materials secure

What constitutes secure storage in the context of controlled assessment?

Secure storage is defined as a securely locked cabinet or cupboard (where work is stored in hard copy format).

Where candidates are producing artefacts (e.g. Art and Design or Design and Technology) secure storage may be defined as a classroom, studio or workshop which is locked or supervised from the end of one session to the start of the next.

Is secure storage of candidates' work required throughout the task-taking stage?

No. When candidates are undertaking research, data collection or other preparatory work under limited control (limited supervision), secure storage is **not** required at this stage.

When does the requirement for secure storage of candidates' work come into play?

Secure storage is required from the point at which candidates embark on producing work for assessment.

All work that will be submitted for assessment must always be collected at the end of each session and stored securely between sessions.

Does the requirement for secure storage extend to candidates' preparatory work?

Yes, if the work for assessment is being produced under high control (formal supervision). High control (formal supervision)

From the point at which candidates embark on producing work for assessment, they are not permitted to amend or augment their preparatory work.

All work must therefore, be collected at the end of each session and stored securely between sessions – i.e. work for assessment **and** preparatory work.

Medium control (informal supervision)

Work produced for assessment must be collected at the end of each session and stored securely between sessions. The requirement does **not** extend to preparatory work unless the specification or subject-specific guidance states otherwise.

Candidates are allowed to continue to undertake preparatory work under limited control (limited supervision) beyond the point at which they embark on producing work for assessment.

What if candidates' work is in an electronic format?

Candidates' preparatory work may be in an electronic format. The work they are producing for assessment may also be in an electronic format. Centres must take steps to ensure that they meet the requirements for secure storage described above. This may involve collecting memory sticks for secure storage between sessions or restricting candidates' access to specific areas of the centre's IT network.

Are candidates allowed to use their own computers or other electronic devices?

Yes, but additional precautions must be taken if the centre permits candidates to use their own devices, either to store preparatory work and/or to write up their work. In these circumstances, the centre is responsible for establishing and implementing a procedure to ensure compliance with the requirements for secure storage described above.

Are teachers allowed to take work home to mark?

Yes, provided that they take sensible precautions regarding its security.

When can marked work be removed from secure storage?

Internally assessed work that is not required for moderation purposes and work returned to centres after moderation must be stored securely until all possible post-results services have been exhausted. If post-results services have not been requested, internally assessed work may be returned to candidates after the deadline for enquiries about results for the relevant series. If post-results services have been requested, internally assessed work may be returned once the enquiry about results and any subsequent appeal is complete.

When can preparatory work be removed from secure storage?

Preparatory work should remain in secure storage until marks have been submitted to the awarding body.