



# Controlled Assessment Policy

(Including staff responsibilities and  
the risk management process)

Updated February 2018

This policy is to help Curriculum Managers (CMs), pastoral teams and the Exams Officer identify their responsibilities in planning and managing controlled assessment. In writing it, reference has been made to advice from the Qualification and Curriculum Development Agency (QCDA) and complied with all regulations stipulated by the Joint Council for Qualifications (JCQ).

## **Outlining staff responsibilities - controlled assessment**

### **Leadership Group (LG)**

LG are accountable for the overall safe and secure conduct of controlled assessments. Led by the Deputy Principal in charge of examinations and the Examinations Officer, the LG ensure all staff are aware of their roles and that controlled assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.

*The Leadership Group should:*

- Have in place, by the start of the academic year, a schedule for controlled assessments coordinated with CMs. These dates should be incorporated into the Academy's assessment calendar. Awarding bodies advise spreading controlled assessments throughout the academic years of Key Stage 4. LG should bear this in mind when planning controlled assessment and allow for the possibility of students retaking the controlled assessment unit.
- Publish the Academy assessment calendar and ensure all staff has access to a copy.
- In collaboration with the Exams and Cover Office, map overall resource management requirements for the year. This includes:
  - Resolution of clashes and/or problems over the timing or operation of controlled assessments.
  - Resolution of issues arising from the need for particular facilities (classrooms, IT networks, time out of Academy or off-timetable)

### **Curriculum Managers**

*Curriculum Managers should:*

- Decide on the awarding body and specification for a particular subject.
- Work with LG and their departments to coordinate a suitable schedule for controlled assessments.
- Ensure they are familiar with restrictions on entries and incorporate this into their planning: the series in which units are available, re-sit rules and the "terminal assessment requirement".
- Inform the Exams Officer of the planned syllabus including unit codes, indicating those which are controlled assessments.
- Inform the Exams Officer of the cycle and estimated number of entries when requested.

- Supply to the Exams Officer details of all unit codes for controlled assessments.
- Keep the Exams and Cover Office up to date with any changes to the assessment cycle and schedule for controlled assessments.
- Inform the Cover Administrator of any cover or cover protection requirements in good time.
- Ensure that staff and students are aware of the internal appeals procedure (See the [Examination Policy](#) document).
- Moderate and standardise the marking of all internally assessed controlled assessment work.
- 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.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment, remembering that a mark of zero should be awarded if students cannot confirm the authenticity of work submitted to their teacher.
- 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**

*Teaching Staff should:*

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- 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.
- 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.

- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the Exams and Cover Office to the awarding body when required, keeping a record of the marks awarded.
- Inform students of their controlled assessment mark before the work is submitted, leaving enough time for the student to appeal if necessary (see appeals procedure, Examination Policy) in line with the internal appeals procedure.
- Retain students work securely between assessment sessions (if more than one).
- Post-completion, retain students' work securely until the closing date for external enquiries about results. In the event that an enquiry is submitted, retain students work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the Academy.
- Ask the appropriate (SENCo) for any assistance required for the administration and management of access arrangements.

### **Exams and Cover Office staff**

The Exams and Cover Office comprises of the Exams & Data Manager (Exams Officer) and the Exams & Cover Administrator (Cover Administrator)

*The Exams Officer should:*

- Provide staff with copies of JCQ publication *Instructions for conducting controlled assessments* and promptly update teaching staff regarding changes in regulations.
- Provide students with a copy of the JCQ *Information for Students (Controlled Assessments)* document.
- Work with LG to produce an accurate and up to date Assessment Calendar, incorporating controlled assessments.
- Support Teaching Staff in identifying specific issues arising from their syllabus, contacting awarding bodies where relevant.
- Ensure Teaching Staff have access to the relevant awarding body secure websites and support them in their use of them.
- 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 and ensure entries satisfy the terminal requirement where relevant.
- Keep an up to date record of re-sits to prevent disallowed entries or entry combinations.
- 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 and make regular checks on the security of controlled assessment materials not kept by the examinations office including mark schemes and all electronic files.
- Download and distribute mark sheets for teaching staff to use, and collect and send mark sheets to awarding bodies before deadlines.  
*The Exams and Cover Office encourages electronic submission of marks through SIMS. Support should be given to those staff members less familiar with this method of submission.*
- On the few occasions where controlled assessment cannot be conducted in the classroom arrange, with the particular support of the Cover Administrator, suitable accommodation where controlled assessment can be carried out.
- Ensure that students are aware of and have access to the Academy's internal appeals procedure (See the [Examination Policy](#) document).
- Review and update the Controlled Assessment Policy document and related policy documents annually reflecting changes by the JCQ/QCDA and reflecting experience and building on good practice within the Academy.

### **Special Educational Needs Coordinator (SENCo)**

*Supported by her department the SENCo should:*

- Ensure access arrangements have been applied for.
- Provide the Exams Officer with a list of Access Arrangement entitlements and promptly inform Exams Office Staff and Curriculum Managers of any amendments or withdrawal of support.
- Ensure all documentation is in order and available to view by a JCQ inspector.
- Work with teaching staff to ensure requirements for support staff are met and resources are available to support students.

**ASHCROFT TECHNOLOGY ACADEMY – CONTROLLED ASSESSMENT RISK MANAGEMENT PROCESS**

Risks and issues	Possible 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	CM/Subject Teachers
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 students sometime between assessments	CM/Subject Teachers
<b>Accommodation</b>			
Insufficient space in classrooms for students	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	CM/Building Services
Insufficient facilities for all students	Careful planning ahead and booking of rooms / centre facilities		CM/Subject Teachers
<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	CM
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	CM/EM

		awarding body secure extranet sites ahead of time	
Validity of assessment	Check task validity date	Make sure task is still valid for the year of entry of the unit	CM
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	CM
<b>Absent students</b>			
Students absent for all or part of assessment (various reasons)	Plan alternative session(s) for students		EM/CM/LG
Students have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	Always consider student 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	CM
<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	CM/ Subject Teachers
<b>Supervision</b>			
Student study diary/plan not provided or completed (Not all controlled)	Ensure teaching staff/assessors are aware of the need for study diary/plans to be	Ensure students start, continue and complete study diary/plans that are	CM/ Subject Teachers

assessment will require the completion of a study diary or study plans.)	completed early in course	signed after every session	
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		CM/ Subject Teachers/LG
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.		CM/ Subject Teachers
<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	CM
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	CM/ Subject Teachers/LG
<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	EM/CM
Students' 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	CM
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	CM



<b>Deadlines</b>			
Deadlines not met by students	Ensure all students are briefed on deadlines/penalties for not meeting them	Mark what students have produced by deadline and seek guidance from awarding body on further action.	CM/Subject Teachers
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	CM
<b>Authentication</b>			
Student fails to sign authentication form	Ensure all students have authentication forms to sign and attach to work when it is completed before handing in	Find student and ensure form is signed	CM/Subject Teachers
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	CM/Subject Teachers
<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	CM/Subject Teachers
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.	CM (with LG)

<b>Malpractice/Maladministration</b>			
Student cheating and/or plagiarising	Ensure that students are made aware of the severity of malpractice. It must be made clear in preparation for controlled assessment that all work must be the student's own.	All controlled assessments to be carried out under exam style conditions and under teacher supervision at all times. Any student malpractice to be communicated to relevant exam boards via the Exams Manager.	CM/Subject Teachers/Exams Manager
Staff providing too much help or guidance during the assessment	Ensure staff understand the importance of malpractice and maladministration. Departments must be clear on the specification guidelines for conducting controlled assessments.	Any staff malpractice to be communicated to relevant exam boards via the Exams Manager.	CM/Subject Teachers/ Exams Manager