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Shevington High School

Controlled Assessment Policy

DATE ACCEPTED:	9th May 2017
COMMITTEE:	School Effectiveness
DATE FOR NEXT REVIEW:	May 2018

SHEVINGTON HIGH SCHOOL

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SHEVINGTON HIGH SCHOOL CONTROLLED ASSESSMENT POLICY

1.0 Introduction

- As part of the 2007 review of GCSE qualification and subject criteria, QCA commissioned a report on internal assessment in GCSE specifications. The report which was published in June 2007 recommended that coursework should be replaced in the majority of subjects by controlled assessment;
- Controlled assessment is a form of internal assessment where the control levels (High, Medium or Limited) are set for each stage of the assessment process: task setting, task taking and task marking. In some subjects, work will be marked by the awarding body. For most subjects however, work will be marked by the centre and moderated by the awarding body.

2.0 Roles and Responsibilities

2.1 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;
- Ensure that each department carries out controlled assessment in accordance with the instructions issued by the Joint Council for Qualifications (JCQ) and awarding bodies' subject specific instructions;
- 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);
- Create, publish and update an internal appeals policy for controlled assessments

2.2 Heads of Faculty/Subject teacher will ensure:

- The safe and secure conduct of controlled assessment in their area and comply with JCQ guidelines and awarding bodies' subject-specific instructions;
- All teachers in each department understand their responsibilities with regard to controlled assessment and are familiar with the contents of the JCQ publication "*Instructions for conducting controlled assessments*";
- Individual teachers understand the requirements of the awarding body's specification particularly the level of control required, and are familiar with the relevant teachers' notes, and any other subject specific instruction;
- There is a clear policy in the department handbook on the carrying out of controlled assessment and appropriate staff training takes place on an annual basis;
- Internal standardisation is completed prior to the relevant awarding body deadline for the submission of unit marks and sample;
- All confidential materials, together with the work produced by the candidates, are stored securely at all times. Secure storage is defined as a secure locked cabinet or cupboard;
- Supply to the exams office details of all unit codes for controlled assessments;
- Support Staff are given sufficient notice in which to order and prepare materials needed for assessments;
- All Teachers in each department are aware of the procedure required to enable/disable controlled assessment accounts;
- All Teachers are aware of their responsibility to ensure that controlled assessment accounts are disabled when controlled assessments are not taking place;
- A minimum of two weeks' notice is provided to Mr Edey if IT facilities are required for controlled assessments;
- SENCo is informed about any assistance required for the administration and management of access arrangements;
- In the case of formal supervision (high level of control) candidates do not have access to e-mail, the internet, *mobile phones* or any other electronic devices;
- That during controlled assessments requiring a high level of control that display material which might provide assistance is removed or covered;

- Where videos or photographs/images of the candidates are to be included as part of the controlled assessment consent is obtained from parents/carers/guardians;
- Candidates' centre assessed marks are passed to the Examination Manager for submission to the awarding body by the deadline date;
- Controlled assessments requested for moderation are prepared/submitted in the format specified by the awarding body;
- Candidates' work required for moderation purposes/external marking is passed to the Examination Manager for submission to the relevant awarding body by the deadline date;
- Work not required for moderation purposes is stored securely until all possible post-results services have been exhausted.

2.3 Teaching staff must:

- Understand and comply with the general guidelines contained in the JCQ publication "*Instructions for conducting controlled assessments (legacy GCSE qualifications)*";
- 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, together with the work produced by the candidates, are stored securely at all times;
- 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;
- In the case of formal supervision (high level of control) candidates do not have access to e-mail, the internet, *mobile phones* or any other electronic devices;
- Ensure that during controlled assessments requiring a high level of control that display material which might provide assistance is removed or covered;
- If using computers/word processors to complete controlled assessments, enable controlled assessment accounts at the beginning of the session and disable them at the end to ensure the security of the controlled assessment is maintained;
- Complete a seating plan if using IT facilities for the controlled assessment in accordance with existing school procedures;

- 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 to the Head of Faculty/awarding body at the date required, keeping a record of the marks awarded;
- Ensure candidates are informed of their marks in a timely manner to enable an internal appeal to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body. This means candidates must be informed of marks at least 2 weeks prior to the internal deadline for submission of their marks to the Awarding Body;
- 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.

2.4 The Exams Manager will:

- 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;
- Take responsibility for receipt, safe storage and safe transmission of controlled assessments, whether in CD, digital or hard copy format;
- Download and distribute mark sheets for teaching staff to use, and collect and send mark sheets to awarding bodies before deadlines;
- Set up accounts on Awarding Body secure websites in order that Teaching staff can submit controlled assessment marks in accordance with Awarding Body requirements;
- Package and despatch moderation sample to moderator by awarding bodies deadline;
- On the few occasions where controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out;

- Create, publish and update an internal appeals policy for controlled assessments.

2.5 SENCo will:

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

2.6 Strategic Network Manager will:

- Release controlled assessment accounts for scheduled assessments if teaching staff are unable to enable/disable accounts;
- Provide support, where possible, if staff encounter difficulties during controlled assessments where IT facilities are being used;

3.0 Good Practice

- At the start of formal sessions of controlled assessment candidates will be reminded to turn their phone off and disable alarms;
- Staff are encouraged to go through the JCQ *Notice to Candidates* (for controlled assessments) at the start of each assessment and ensure that they fully understand the penalties incurred in the case of any kind of malpractice.
- A log is kept which contains:
 - The date and time of each assessment together with its title;
 - The name of the supervising teacher;
 - A list of candidates who were present during the assessment;
 - A list of any absent candidates;
 - Details of any incidents which occurred during the controlled assessment

The JCQ publication '*Instructions for conducting controlled assessments (legacy GCSE qualifications)*' provides subject teachers, senior leaders and heads of centre with a single, definitive source of generic guidance and instruction for legacy GCSE qualifications - <http://www.jcq.org.uk/exams-office/controlled-assessments>.

4.0 Malpractice

The Head of Centre will:

- supervise all investigations resulting from an allegation of malpractice;
- ensure that if it is necessary to delegate an investigation to a member of staff, the member of staff chosen is independent, and not connected to the department involved in the suspected malpractice. This is to avoid conflicts of interest which can otherwise compromise the investigation;
- respond speedily and openly to all requests for an investigation into an allegation of malpractice, as this is in the best interests of centre staff, candidates and any others involved;

4.1 Student Malpractice

- if the irregularity is discovered prior to the candidate signing the declaration of authentication form investigate any alleged malpractice using our internal procedures;
- if the irregularity is identified after the candidate has signed the declaration of authentication, the Head of Centre must notify the relevant awarding body at the earliest opportunity using **Form JCQ/M1**;

4.2 Teacher Malpractice

- The school will carry out an investigation where it is evident that a teacher has helped a child with their controlled assessment beyond the guidelines contained within each specification;
- Where there is malpractice it will be dealt with under the disciplinary policy of the school and the awarding body will be informed;
- The head of centre **must** submit full details of the case at the earliest opportunity to the relevant awarding body **Form JCQ/M2a** (suspected malpractice/maladministration involving centre staff) should be used to notify an awarding body of an incident of malpractice;

Detailed guidance on dealing with suspected malpractice is available in the JCQ document *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* - <http://www.jcq.org.uk/exams-office/malpractice>

5.0 Monitoring and evaluation

This policy will be monitored on behalf of the Governing Body by the Governors' School Effectiveness Committee.

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	Head of Faculty/Subject teacher
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 some time between them	Head of Faculty/Subject teacher
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 teacher
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Head of Faculty/Subject teacher

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	HOF/Subject teacher/Exams Manager
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	Exams Manager
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		HOF/Teaching staff

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	Exams Manager HOF
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	Teaching staff
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	Instructions for conducting controlled assessments signposted to all staff each academic year Controlled assessment policy emailed to all staff	Exams Manager
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		HOF/Teaching staff

* 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	HOF/Teaching staff/Exams Manager
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	HOF/Teaching staff/Exams Manager
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	Exams Manager
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	HOF/Teaching staff/Exams Manager
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	HOF/Teaching staff/Exams Manager

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

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	HOF/Teaching staff/Exams Manager
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	Exams Manager
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	HOF/Teaching staff
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	HOF/Teaching staff

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Marking			
Teaching staff interpret marking descriptions incorrectly	<p>Ensure appropriate training and practicing of marking</p> <p>Plan for sampling of marking during the practice phase</p>	<p>Arrange for re-marking</p> <p>Consult the awarding body's specification for appropriate procedures</p>	HOF/Teaching staff
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	HOF/Teaching staff