

CONTROLLED ASSESSMENT AND NON-EXAMINATION ASSESSMENT POLICY

October 2016

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Review led by R Beards

Outlining Staff Responsibilities - GCSE Controlled Assessment

This policy is compliant with the Joint Council for Qualifications (JCQ) publication *Instructions for conducting controlled assessments*. It is the responsibility of the Governors to review the policy at regular intervals and monitor its implementation.

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This Policy lists the responsibilities of the relevant staff in terms of organising, administering and overseeing controlled assessments.

1. Leadership

- Leadership are accountable for the safe and secure conduct of controlled assessments and non-examination assessments for GCSE and GCE. They must ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- In the summer term, they begin coordinating with Directors of Learning to schedule controlled assessments and non-examination assessments ensuring that they are conducted at appropriate points through the examination cycle.
- Leadership must map overall resource management requirements for the year. As part of this, resolve:
 - clashes/ problems over the timing or operation of controlled assessments and non-examination assessments
 - issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- Ensure that all staff involved have a calendar of events.
- Create, publish and update an exams policy that includes internal appeals procedures for internally marked assessments.

2. Directors of Learning

- Decide on the awarding body and specification for a particular GCSE.
- 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, to satisfy the terminal assessment requirement in accordance with the awarding body specification.
- Supply to the Exams Officer details of all unit codes for controlled assessments and non-examination assessments.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment and non-examination assessments.
- 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 guidelines for controlled assessment and non-examination assessments are followed. This includes ensuring that teachers remove or cover any display material in the teaching environment which might provide assistance.
- 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.
- Where centres are responsible for task setting for non-examination assessments, they must ensure that the assessment criteria, as detailed in the specification, can be met and tasks are accessible to candidates. They must refer to the awarding body's specification.
- Create systems within their area for logging work. The school must show work was kept securely by the school, and logged in and out on each occasion
- 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.
- Consult the relevant awarding body's specification to obtain the date for the issuing of tasks, to allow time for planning, resourcing and teaching.

3. Teaching Staff

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting non-examination assessments*.
- Ensure pupils are issued with the relevant JCQ documents: Information for candidates : Non-Examination Assessments OR Controlled Assessment OR Coursework.
- Understand and comply with the awarding bod'ys specification for conducting controlled assessments and non-examination 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.
- Understand and distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- Ensure that candidates understand that information from published sources must be referenced, receive guidance on setting out references and are aware that they must not plagiarise other material.
- 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. This must be dated to reflect the time it was marked.
- Annotate marking to clearly show where marks are awarded.
- Submit marks through the exams office to the awarding body when required, 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 (SENDSCO) for any assistance required for the administration and management of access arrangements.
- Ensure that if an assignment is word processed, the candidate's name appears on each page as a header or footer.
- Keep a written log of any fire alarm/evacuation.

4. Exams Office Staff

- Enter students for individual units, whether assessed by controlled assessment, non-examination assessments, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- 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, and collect and send marksheets to awarding bodies before deadlines.
- On the few occasions where controlled assessment cannot be conducted in the classroom, arrange suitable accommodation where controlled assessment can be carried out, at the direction of Leadership.

5. Special Educational Needs and Disability Coordinator

- Ensure that all relevant staff are aware of any access arrangements which need to be applied for non-examination assessments and controlled assessments.
- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.

Re-working and Re-sitting

If the teacher decides it is appropriate for candidates to **re-do** their controlled assessment before the marks have been sent to the awarding body, they may do so under the following conditions:

- Where the work has to be carried out under formal supervision, any candidate re-doing this work must undertake a different task. Candidates must not be allowed to make another attempt at the original task. However, candidates may re-use the research carried out for the original task.
- Where the work has to be carried out under informal supervision, candidates may make amendments to it in the light of feedback from the teacher provided this feedback is in line with the requirements of the specification. Candidates must not be allowed to make amendments after the work has been submitted for final assessment by the teacher.

Candidates who **re-sit** a controlled assessment may make another attempt at the task previously submitted, if that task is still appropriate to the year in which the assessment will be submitted. This is subject to the availability of the specification in a future examination series. The work presented for assessment, whether under formal or informal supervision, must be entirely new. Candidates must not be allowed to amend the work which was submitted previously, although candidates may re-use research carried out previously.

Internal appeals against assessed work

Please refer to the Exam Policy.

The Risk Management Process

The following section examines potential risks and issues relating to the implementation of controlled assessment for GCSEs and how these might be managed and mitigated through forward planning and remedial actions.

This document should provide a useful starting point for the 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 document will be revised and developed as the school becoming increasingly familiar with the controlled assessment process or as need is identified.

The 'Staff' column identifies staff members of Barr Beacon School who are responsible for a specific aspect of the controlled assessment process. These may be identified by person or role. The RACI process is used for identification:

- **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.

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	Possible remedial action		Staff (use 'RAC/' to determine who should be listed)
	Forward planning	Action	
Timetabling			
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	Deputy/Assistant Head
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	Deputy Head/Leadership
Accommodation			
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	Director/Assistant Head with responsibility for exams
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Director/Assistant Head with responsibility for exams
External noise	Ensure that 'Silence – Exams in Progress' signs are clearly displayed around all rooms where exams taking place	If a known potential noise is likely to be at an unacceptable level consider moving to an alternative location.	Director

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	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	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	Teacher/Director/ Network Manager
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	Teacher/Director/ Exam Officer
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Teacher/Director
Candidates have a scheduling clash for exams or assessment	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	Director/Exams Officer

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	Possible remedial action		Staff (use 'RAC!' to determine who should be listed)
	Forward planning	Action	
Control levels for task taking			
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	Leadership/ Directors
Supervision			
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	Teacher/ Directors
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		Leadership/ Directors
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are not 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		Leadership/Exam Officer

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

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	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
Task setting			
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	Director
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	Director
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Director
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	Director/ Teacher
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Director/Exam Officer

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

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	Forward planning	Action	
Deadlines			
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.	Director/ Teacher
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	Assistant Head responsible for exams
Authentication			
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 Teacher
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	Director

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	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
Marking			
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	Director
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.	Director
The wrong task is given to candidates	Teaching staff check the relevant awarding body's specification to obtain the date for the issuing of tasks.	The centre makes arrangements for candidates to undertake the correct task.	Director Leadership