



Controlled Assessment Policy

	Pg. no
Section 1 – Introduction	Pg. 1
Section 2 – Procedures and Practice	Pg. 2
- Roles and Responsibilities	Pg. 2
- Possible issues that may arise in the completing of Controlled Assessment	Pg. 6
- Internal Appeals	Pg. 8
Section 3 – Concluding notes	Pg. 9
Appendix 1 – Internal Appeals form	

Section 1: Introduction

Controlled assessment is a form of internal assessment where control levels are set for each stage of the assessment process: task setting, task taking and task marking.

The purpose of this policy is to:

- Ensure that there is a systematic and consistent procedure for the management of controlled assessment within the school and to examine any potential issues regarding the implementation of controlled assessment
- Ensure that assessment is carried out in accordance with JCQ instructions and individual awarding body specifications
- Identify staff responsibilities in planning and managing GCSE controlled assessments

For the purposes of this policy, the term ‘Internally Assessed’ work refers to all work that is marked by our staff here at USH. This includes any practical exams and controlled assessment. Internally Assessed work is completed in:

- ICT (BTEC Award)
- Food Science (new)
- Resistant Materials (Legacy Spec)
- Design and Technology (new)
- PE (new)
- Film Studies (Legacy Spec)
- Italian (Legacy Spec)

- Spanish (new)
- French (new)
- Art (new)
- Photography (new)
- Music (new)
- Drama (new)

Consultation

This policy was created by the Leadership Team and the Exams Officer using guidance from the JCQ (2017/18) and exam boards. Further guidance can be found at <https://www.jcq.org.uk/exams-office/controlled-assessments>.

Section 2: Procedures and practice

Roles and Responsibilities:

Head of Centre

The Headteacher has the overall responsibility for ensuring that controlled assessment work is conducted in accordance with the JCQ instructions and individual awarding body specifications.

Senior Leadership Team

The Senior Leadership Team:

- is accountable for the safe and secure conduct of controlled assessments. Ensuring assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions
- should, at the start of the academic year, begin coordinating Subject Leads to schedule controlled assessments. (It is advisable that controlled assessments are spread throughout the academic years of KS4)
- will map resource management requirements for the year to:
 - resolve clashes/problems with the timing or operation of controlled assessments
 - resolve issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- will ensure all staff and students involved have a calendar of events to inform their practice
- will support the Subject Leaders in setting deadlines for completion
- create, publish and update an Internal Appeals Policy for controlled assessments
- decide on the awarding body and specification for a particular GCSE

Examinations Officer

The Examinations Officer is responsible for:

- familiarising him/herself with the *JCQ Instructions for Conducting Controlled Assessment*
- ensuring the confidential materials that are directly received by the exams office are received, stored and transmitted material securely, whether in CD or hard copy format
- ensuring that candidates' work is kept securely
- downloading and distributing mark sheets for departmental use
- inputting, collecting and/or sending completed marksheets information to awarding bodies before deadlines
- keeping a central record of the despatch of controlled assessment, including recipient details and date and time sent
- ensure candidates and teaching staff are aware of the JCQ document Information for Candidates – Social Media. This document will be posted on the school website
- Obtaining informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution.

In exceptional circumstances where controlled assessments cannot be conducted in the classroom, the Exam's Officer can arrange suitable accommodation where controlled assessment can be carried out at the direction of the Senior Leadership Team.

Subject Leaders

Subject Leaders are responsible for:

- familiarising themselves with the *JCQ Instructions for Conducting Controlled Assessment* and the detailed requirements of the relevant awarding body specification(s) for their subject, and ensuring these are implemented in practice
- deciding upon the awarding body and specification for a particular GCSE
- supplying the Examinations Officer with details of all unit codes for controlled assessments
- making students aware of the Internal Appeals Procedure and regulations concerning malpractice
- ensuring 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
- ensuring 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
- ensuring that controlled assessment tasks issued to candidates are appropriate to the year in which assessment will be submitted to the awarding body

- working with the SLT to help schedule controlled assessment across KS4 and, where necessary, to resolve issues arising over timing or the need for resources
- ensuring that all controlled assessment dates are entered on the Annual Review Cycle and are forwarded to the examinations officer
- retaining registers handed over by subject teachers for each controlled assessment session, these should be given to subject leaders within 24 hours of the controlled assessment session
- (where appropriate) developing new assessment tasks or contextualising sample awarding body assessment tasks to meet local circumstances, in line with the specification and control requirements
- working with the ICT technical team to ensure any ICT requirements are in place and tested before controlled assessment takes place
- ensuring that internal departmental controlled assessment procedures and deadlines are clear and shared with all relevant staff and students
- ensuring that assessment materials and candidates' work are kept in secure conditions at all times. In the case of work stored electronically, this will include protection from corruption. If work is saved on memory sticks these should be backed up and locked away after each session
- maintaining records of controlled assessment sessions within the department
- working with the SENCO to ensure the appropriate access arrangements are made for individual candidates
- gaining informed consent of parents/carers/guardians in the event that photographs/images of candidates are used as evidence of individual contribution
- ensuring that internal standardisation is carried out according to the required procedures and evidence is retained for this.

Whilst the Subject Leader has the overview and bears the overall responsibility for controlled assessment in the department, subject teachers are responsible for the implementation of controlled assessment relevant to their allocated classes.

Subject teachers

Subject teachers are responsible for:

- requesting from and completion of controlled assessment marksheets from the Examinations Officer
- organising the submission of candidates' work for moderation, keeping a record of the examination numbers and names of those candidates whose work is included in the sample sent to or seen by moderators, and passing on all relevant details to the examinations officer for the central record
- understanding and complying with the general guidelines in the JCQ publication *Instructions for conducting controlled assessments*

- understanding 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;
- requesting support from USH's SENCO regarding meeting the needs of students who have identified SEN;
- ensuring that candidates are full aware of the controlled assessment task requirements and know the assessment criteria they are expected to meet;
- ensuring the correct levels of supervision are maintained during task taking
- informing the examinations officer when a high level controlled assessment is taking place
- 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
- checking that candidates using electronic storage facilities only introduce permitted material into the assessment environment
- ensure that candidates and supervising teachers sign authentication forms on completion of assessment.
- recording details of the nature of any feedback or guidance given to candidates, including any advice given to individual candidates over and above that given to the class as a whole
- confirming that controlled assessment was completed under the required conditions and work is that of the candidates concerned by signing the *Declaration of Authentication – Controlled Assessments*
- marking internally assessed components by deadlines 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
- 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
- storing all work securely (in line with the expectations set out by the Subject Leader)

A clear outline of what information should be retained and archived by the school can be found in Appendix 5 of the Exams Policy 2017-18.

SENCO

The SENCO is responsible for:

- Informing teachers of candidates with special educational needs / access arrangements at the start of an examined course (this list will be kept in pool), so that the appropriate arrangements can be made in class and for assessment purposes;

- Advising on the implementation of access arrangements when required.
- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met where candidates are completing assessment under the supervision of the Learning Support Department.

Possible issues that may arise in the completing of Controlled Assessment

The following issues may arise during the process of the completion of Controlled Assessment. For each issue, a solution is considered:

Resourcing and planning

The planning of controlled assessments will take place as the cohort begin their Key Stage 4 at the start of Year 9. Time will be allocated within the curriculum with clear deadlines set for the completion of the controlled assessment alongside the task set. Time will also be built in for the marking and moderation of the assessments to ensure this is correct.

Incorrect interpretation of the set tasks or marking scheme

All staff involved with the controlled assessment will be expected to attend training from the appropriate examining body. Alongside this, they will liaise with the identified member of staff at the exam board who will be able to give guidance regarding the setting of tasks and marking of work. This will also include the level of control allowed by the exam board for the specific piece of assessment.

Specific time will be identified for moderation. Where required, external moderation will be requested through local and national networks.

If there has ever been any feedback from an exam board where there have been concerns regarding the marking outside of tolerance, any staff members will be required to attend standardisation from the exam board prior to the marking of the new set of assessments.

Absence

Teachers /Subject Leaders will accommodate the occasional absence of a candidate by ensuring that an opportunity is given to them to make up missed controlled assessment. An alternative supervised session will be organised for such candidates.

Should a candidate miss controlled assessment sessions persistently and/or without prior notice his/her parents will be contacted to discuss the situation. For prolonged absence due to illness the examinations officer will apply (at his/her discretion) for special consideration.

Further guidance regarding specific contingency plans regarding the completion of exams can be found in Appendix 4 of the Exam Policy 2017-18.

Repeat Submission

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*, under specified conditions. (see *Instructions for conducting controlled assessments* JCQ)

Missed Deadlines

Teachers and Subject Leaders will make every effort to support candidates so that they submit work to meet published internal deadlines. Where there is a danger of a deadline being missed, the Subject Leaders will liaise with Heads of Year and decide upon appropriate intervention. It is at the school's discretion to accept controlled assessment work after published final deadlines.

Retention and Return of Controlled Assessment

- In most cases, awarding bodies return centre-assessed work to centres after the publication of results, although they reserve the right to retain samples and also retain work which has been the subject of irregularities or malpractice investigation.
- The school holds controlled assessment securely when it has been returned by the awarding body up to and including the deadline for the submission of enquiries about results and until any enquiry or malpractice investigation has been resolved.
- Any work no longer required will be disposed of in a confidential manner by the school.
- Candidates wishing to reclaim their work must do so in person from the Head of Department. All unclaimed controlled assessment will be destroyed as detailed above.

A clear outline of what information should be retained and archived by the school can be found in Appendix 5 of the Exams Policy 2017-18.

Malpractice

(In addition to this part of the Controlled Assessment Policy, the BTEC course has a specific policy in place with regards to Internal Appeals. This refers to the specific requirements of the BTEC course and the roles and responsibilities. Please see *BTEC Malpractice policy*.)

Candidates **must not**:

- submit work which is not their own
- lend their own work to others or allow their work to be copied
- allow others access to, or the use of, their own independently sourced material
- use any books, the internet or other sources without acknowledgement or attribution
- submit work word processed by a third party without acknowledgement

These actions constitute malpractice, for which a penalty, (e.g. disqualification from the assessment) will be applied.

It is the responsibility of the examinations officer to inform candidates of the JCQ regulations concerning malpractice, as detailed in the JCQ booklet *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*;

If irregularities in controlled assessments are discovered prior to the candidate signing the declaration of authentication this will be dealt with under the school's internal procedures. Details of any work which is not the candidate's own will be recorded on the authentication form supplied by the awarding body or other appropriate place.

If irregularities in controlled assessments are identified by a centre after the candidate has signed the declaration of authentication, the Headteacher will submit full details of the case to the relevant awarding body at the earliest opportunity.

Internal Appeals

(In addition to this part of the Controlled Assessment Policy, the BTEC course has a specific policy in place with regards to Internal Appeals. This refers to the specific requirements of the BTEC course and the roles and responsibilities. Please see *BTEC Learners Appeals policy*.)

This specific part of the Controlled Assessment policy relates to students being given the opportunity to appeal the marks they have been awarded for Internally Assessed work. All controlled assessment is moderated alongside the teachers attending appropriate Professional Development, including work with local networks.

If in the event of a student wanting to appeal the marks they have been given, the process has been outlined below:

Stage 1– if the student wants to discuss their marks, they should have an informal discussion with their teacher within 5 days of receiving the marks. If a resolution is found, the member of staff should record the discussion for reference only, as part of best practice. If a solution is not achieved, the discussion should be formally recorded and passed on to the Subject Leader, or SLT Line Manager.

Stage 2 – Formal review. The Subject Leader or Line Manager will make an assessment of the class. A written reply will be given to the learner within two school weeks.

Stage 3 – Appeal hearing. The learner must apply to the Head of Centre (the Headteacher) in writing within four school weeks of the initiation of the Stage 2 Formal Review. An appeal panel, appointed by the Headteacher, will meet and review the evidence. A formal response will be given to the student.

Stage 4 – External Appeal. If the issue was still not resolved, the grounds for appeal and any supporting documentation must be submitted to the awarding body within 14 days of the completion of Stage 3.

All of this process must be recorded on a form (Appendix 1).

Section 3: Concluding notes

Monitoring and Review

The Local Governing Body will be responsible for monitoring the implementation of this policy alongside the Deputy Headteacher with oversight for Assessment. Any issues regarding malpractice or where this policy has not been adhered to will be reported to the Governing Body.

Other linked documents

- JCQ Guidance
- Specific exam board guidance where appropriate

Governor approval and review dates: The policy will be reviewed each year by the Exams Officer and Deputy Headteacher responsible for Assessment.