



St John
Bosco
College

Policy for the management of controlled assessments

2017/18

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Date of next review	Jan 2019

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(legacy GCSE qualifications)

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Purpose of the policy

This purpose of this policy is to:

- *identify staff responsibilities in planning and managing GCSE controlled assessments;*
- *examine potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions.*

This policy complies with JCQ's 2017/18 [General Regulations](#) 5.8 in that the centre is required to “*have in place, and be available for inspection purposes, a **written** policy with regard to the management of GCSE controlled assessments*”.

This policy does not cover specific [instructions for conducting controlled assessments](#) which are provided by JCQ and awarding bodies.

Staff responsibilities in planning and managing GCSE controlled assessment (legacy GCSE qualifications)

Roles and responsibilities overview

Senior Leadership Team

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with the JCQ guidelines and awarding bodies' subject specific instructions.
- Coordinate with Heads of Department and other relevant groups/committees/individuals the schedule for controlled assessment to take place throughout the year.
- Ensure staff has a calendar of events.
- Ensure Heads of Department and parents/candidates are aware of key dates in the controlled assessment programme and that parents/candidates are aware of the requirements for controlled assessment including the JCQ *Information for Candidates* document.
- Ensure that parents/candidates are aware of the internal appeals process.

Heads of Department (HoDs)

- Manage the controlled assessment programme in their department in accordance with JCQ, Awarding Body and subject specific requirements and guidance;
- Ensure that all teachers in their department are familiar with the contemporary JCQ document *Instructions for conducting controlled assessments* and that they understand their roles and responsibilities in accordance with the relevant documents and guidance.
- In particular, Head of Department should ensure that all teachers fully understand the significance of the different levels of control applied to individual sections of the Controlled Assessment task.
- Ensure that all confidential materials, together with candidates' work, are stored securely at all times. Secure storage is defined as a secure locked steel cabinet or similar.
- Liaise with the SENCO concerning any assistance required for the administration and management of access arrangements and / or extra time requirements.
- Ensure that a log is kept which contains the date and time of each assessment, the names of teachers involved a list of candidates present, a list of absent candidates, and a log of any incidents that took place during the controlled assessment.
- Ensure the marking of candidates work is standardised across the department as required and ensure the documentary evidence is retained from all standardisation exercises.
- Ensure there is an explicit contemporary policy on the implementation of controlled assessment and that appropriate staff development takes place as and where necessary.
- Supply the examinations officer with details of all unit codes for controlled assessments.

Subject Teachers

- Comply with the guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*
- At the start of each assessment session remind candidates of the requirements to have mobile phones etc. turned off and ensure that the candidates are aware of the level of control required for that particular session
- Be familiar with and comply with Awarding Body general and subject-specific requirements for conducting controlled assessments.
- Ask the SENCO for any assistance required for the administration and management of access arrangements.
- Ensure all students and teachers sign authentication forms on completion of assessments.
- Ensure that all materials, including pupil's work, are securely stored.
- Supervise assessments at the specified level of control.
- Ensure that authentication forms are completed and securely stored.
- Mark internally assessed components as required, using the Awarding Body mark schemes and carry out any associated administration concerning the recording of marks as required.
- Take part in any standardisation of marking meetings within the department as required.
- Post-completion, retain candidates work securely until the closing date for enquires about results. In the event that an enquiry is submitted, retain the candidates' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.

Exam Officer

- Enter, or ensure that Heads of Department / subject teachers have entered pupils for the appropriate units within the timescales specified.
- Ensure that all appropriate administrative tasks including the receipt, storage and distribution of confidential examination documents and other necessary documents takes place.
- Where necessary arrange suitable accommodation when it is more appropriate to have controlled assessment carried out in an 'exam hall' as opposed to a classroom.
- Collaborate with SENCO to ensure that all applications are made for access arrangements for eligible students.
- Provide Heads of department with a list of candidates entitled to extra time for controlled assessment.

SENCO

- Ensure identification and testing of those students who may be eligible for access arrangements and that all access arrangements have been applied for in collaboration with the Examinations Officer.
- Work with teaching staff to facilitate access arrangements

Headteacher

- Report to the awarding body all instances of suspected or actual malpractice.

- Supervise, or delegate the supervision of all investigations resulting from an allegation of malpractice.

Responsibility of parents

- Parents should ensure that their child is in school, and as well prepared as possible, for the preparation and carrying out of controlled assessment tasks, excepting legitimate absence.
- Parents should have discussed the implications of the JCQ *Information for candidates'* document with their child and should ensure he/she is aware of all the issues raised by this document.

Responsibility of candidates

- It is the pupil's responsibility to adhere to the guidance provided by the subject teacher on Controlled Assessment.
- Candidates should contact their subject teachers directly following a period of absence.

AQA

CCEA

Edexcel

OCR

WJEC

For use by exams office staff

GCSE controlled assessments

Risk management process (editable template)

This editable template examines potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions. We hope it will provide a useful starting point for exams office staff when discussing with colleagues risks and issues that might apply to their centre.

Using the risk management process template

The list of possible risks and issues featured in this template is purely illustrative for an individual centre to consider and adapt to their own needs. There are blank rows under each heading for you to fill in.

A blank column entitled 'Staff' has been included on the template so centres can list the person
(or role):

- **responsible** for the risk/issue;
- **accountable** for the risk/issue;
- who should be **consulted** about this risk/issue;
- who should be **informed** if the risk/issue arises;

Any adapted list of risks and issues should be reviewed and approved by appropriate members of the senior leadership team. This will ensure that it is fit for purpose and compatible with the existing policies and procedures of the centre. The review should be repeated at regular intervals and kept up to date.

Please note: the above guidance is not part of the template and must not be altered.

Example risks and issues	Possible remedial action		Staff
	Forward planning	<i>Action</i>	
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	HoDs/SLT/Exams/office
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	HoDs/SLT /Exams collect dates early /SLT prepare calendar in advance
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	HoD/Premises
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Inform office to book rooms/premises get the rooms prepared seats & desks/exams clocks, posters etc.

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	Liaise in advance with IT/Exams
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	Teachers to request logins as the start of a school year from Exams
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Liaise with IT/Exams
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates if possible.	Liaise with student/parents to communicate options available.	Inform the exams officer. Contact parents. Obtain medical certificates or other documents as evidence where necessary. Keep records and register of attendance.

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action	Staff
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	Forward planning	<i>Action</i>	
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	Know your specification. Read it carefully. See exams officer if you need further clarification.
			Note problems and seek advice from the awarding body.
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	Check students' plans each session. Take action by notifying parents/SLT early on of problems.
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		Read the notices kept on the V drive, and circulated relating to exams.
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		Contact the exams officer/SLT immediately to arrange supervision/invigilator.

* 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	<i>Action</i>	
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	Teaching staff and HoDs must be fully aware of the specification contents. Speak to the awarding body if there is any issue(s) unclear.
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	Teaching staff and HoDs must be fully aware of the specification contents. Speak to the awarding body if there is any issue(s) unclear.
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	Assessments must be kept under lock and key. Any breach must be reported to the awarding body via the 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	Candidates work should be locked away when not in use. Any lost work has to be reported to the awarding body via the exams officer.
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Seek advice from SLT/premises

** 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	Teachers/HoDs
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	Inform SLT/awarding body of problems
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	Teachers ensure have a supply of forms and get students to complete them before handing in and marking work.
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	Teachers sign the authentication forms as they mark the work. HoDs/SLT to check this is happening.

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
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	Teachers/HoDs to attend awarding body courses. Teachers/HoDs must be familiar with the specification. Contact the awarding body.
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	SLT to put the dates on the school calendar in advance. HoDs to inform SLT if there is a problem.