



Montgomery High School

An Academy, Language College and Full Service School

Conducting Controlled Assessments

Note: subject to change due to evolving technical requirements of assessment

Approved by the Academic Standards Committee

05/12/12

Agreed review period

3 years

Table of Contents

1.	INTRODUCTION	3
1.1	What is Controlled Assessment?	3
1.2	Key features of Controlled Assessment	3
2.	OUTLINING STAFF RESPONSIBILITIES	3
2.1	Senior Leadership Team	3
2.2	Heads of Department	4
2.3	Teaching Staff	4
2.4	Exams Office Staff	5
2.5	Special Educational Needs Co-ordinator	5
3.0	RISK MANAGEMENT	5
4.0	APPENDICES	
	APPENDIX 1	
	Document Log – Confirmation of Receipt of Controlled Assessment Policy and JCQ Guidelines	6
	APPENDIX 2	
	Risk Management Process Document	7-12

1. INTRODUCTION

From September 2009 Controlled Assessment replaces coursework for a large majority of GCSEs. This is one of the changes in the Government's reform of education for 14 – 19 year-olds, designed to ensure that specification content meets the aims of the revised secondary curriculum.

1.1 What is controlled assessment?

Controlled Assessment is designed to assess the skills which are not effectively measured by external exams. It retains many features of coursework while ensuring that the work submitted is the students' own and that internal assessments are more manageable for teachers and students.

The specific requirements for Controlled Assessment are different for each subject.

1.2 Key features of controlled assessment

Controlled Assessment:

- Enables a more integrated approach to teaching, learning and assessment
- Provides an increased facility to ensure that work is the student's own
- Enables teachers to choose the timing of controlled assessment
- Enables teachers to select from a choice of tasks and contextualise them
- Is viewed as part of the work of the course, rather than a separate activity. It is an integral part of teaching and learning
- Usually takes place in the classroom, within the normal timetable
- Features levels of control designed to maximise reliability and authenticity

2.0 OUTLINING STAFF 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.
- At the start of the academic year, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of key stage 4).
- 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.)
 - Ensure that all staff involved have a calendar of events

2.2 Heads of Department/Curriculum Area Leaders (CAL)

- Decide on the awarding body and specification for a particular GCSE.
- 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.
- Ensure that individual teachers understand their requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- 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.
- Check and confirm:
 - details of all unit codes for controlled assessment with the Examinations Officer
 - details of any assistance required for the administration and management and/or access arrangements for students with SEND and other needs with the SENCO/Assistant SENCO and Examinations Officer

2.3 Teaching Staff

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Confirm with the exams office details of all unit codes for controlled assessments in communication with CAL.
- 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.
- 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 through the exams office to the awarding body when required, and by given deadlines, 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.

- Arrange with the appropriate special educational needs coordinator (SENCO) and CAL for any assistance required for the administration and management of access arrangements and inform the Examinations Officer

2.4 Exams Office Staff

- 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.
- 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 mark sheets for teaching staff to use, and collect and send mark sheets 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 the senior leadership team.
- Ensure all Heads of Department receive an up to date copy of the JCQ Guidelines for Conducting Controlled Assessments and that a signed document log is kept (**Appendix 1**)
- Check and confirm details of all unit codes for controlled assessment with Curriculum Area Leaders
- Ensure all departments receive a copy of the Policy for Conducting Controlled Assessments.
- Check arrangements with SENCO/Assistant SENCO and CAL and communicate confirmed Access Arrangements to students and parents.

2.5 Special Educational Needs Co-ordinator

- Ensure Access Arrangements have been applied for
- Ensure Access Arrangements are confirmed with Exam Boards, are up to date and that records in this respect are fully maintained.
- Ensure the candidate reads and signs a copy of the Data Protection Notice prior to Access Arrangements being applied for.
- Ensure all tests and evidence to support a candidate's application are kept securely and can be accessed for evidence if required.
- Work with teaching staff to ensure requirements for support staff are met.

3.0 RISK MANAGEMENT

In order to minimise the possibility of errors occurring a Risk Management Process Document should be adopted (see **Appendix 2**).

4.0 [Appendices](#)

Appendix 1 – Document log confirming receipt of Controlled Assessment Policy
Appendix 2 – Risk Management Process Document.

Appendix 1

Document Log – Confirmation of Receipt of Controlled Assessment Policy and JCQ Guidelines



Department	Date policies given to department	Signature	date

**Appendix 2
Risk Management Process Document**

Example risks and issues	Possible remedial action		Staff
	1. Forward planning	1.1 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	CAL, CDA
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	CAL & SLT
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	CAL & CDA
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		CAL & CDA

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	2. Forward planning	2.1 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	CAL, AGA & Teaching staff, ICT Technical Team
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	CAL, AGA & Teaching staff, ICT Technical Team
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	CAL & AGA
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		CAL, CDA
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	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	CAL, teaching staff & AGA

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	3. Forward planning	3.1 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	CAL, AGA & teaching staff
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	Teaching staff
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	Exam Officer to provide Head of Department with Controlled Assessment Policy	CAL, AGA
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.		CAL, AGA

* Not all controlled assessments will require the completion of a study diary or study plans

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	4. Forward planning	4.1 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	CAL
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	CAL
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	CAL & AGA
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	CAL & AGA
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	CAL & AGA

** All tasks must be developed in line with the requirements of the specification.

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	5. Forward planning	5.1 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.	CAL & teaching staff
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	CAL & teaching staff
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	Teaching staff
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 Each Curriculum Area should implement 'handover' mechanisms when staff are leaving	CAL, teaching staff & AGA

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	6. Forward planning	6.1 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	CAL & teaching staff
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.	CAL & AGA