

Controlled Assessment Policy

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Purpose

- Controlled assessment measures subject-specific skills that may not necessarily be tested by timed written papers.
- Since September 2010 the JCQ has required each centre to have a controlled assessment policy in place:
 - to cover procedures for planning and managing controlled assessment
 - to define staff roles and responsibilities with respect to controlled assessment
 - to manage risks associated with controlled assessment
- Controlled Assessments are divided into three stages, and each stage has a pre-determined level of control associated with it. The stages are defined as 'Task Setting', 'Task Taking' and 'Task Marking'. Levels of control are defined as 'High', 'Medium' and 'Limited'. The level of control for each stage/sub-stage is set by the qualifications regulators so that there is consistency between the awarding bodies.
- Instructions for task setting, task taking and task marking are all clearly explained in the specification for a course. However there are significant variations in the level of supervision (formal/ informal/ limited) required for each element and course.
- This policy sets out the roles, responsibilities and procedures to be adopted to ensure the appropriate administration of controlled assessments.

Risk

All associated risks in relation to controlled assessments are mitigated by relevant individuals adhering to the policy at all times. These include insufficient resources, absence, staff training and malpractice. The Exams department also has a log of risks relating to all External Exams and Assessments on the central college Risk Management system which is regularly reviewed and monitored by the Head of Information Systems.

Responsibilities

Directors

- Accountable for the safe and secure conduct of controlled assessments.

Director of Quality

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

Deputy Directors

- 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 tutors fully understand their responsibilities with regard to controlled assessment.
- Ensure that individual tutors fully understand the requirements of the awarding body's specification, are familiar with the relevant teachers' notes **and** any other subject specific instructions.
- At the start of the academic year, begin scheduling controlled assessments.
- Map overall resource management requirements for the academic 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, laptops etc);
- Ensure that all staff involved, including the Exams Manager, have a calendar of events.
- Ensure that staff involved in the supervision of Controlled Assessments fully understand what is required.

Teaching staff

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments*.
- Understand 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.
- Supply to the exams team details of all unit codes for controlled assessments on request.
- Where appropriate, develop new assessment tasks or adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body's specification and control requirements.
- 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.
- Ensure that candidates and supervising tutors sign authentication forms on completion of an assessment.
- Mark internally assessed components 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.
- 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 (SENCo) for any assistance required for the administration and management of access arrangements.

Exams office staff

- 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.
- **In exceptional circumstances** where controlled assessments cannot be conducted in the classroom, arrange suitable accommodation where controlled assessments can be carried out at the direction of the relevant Deputy Director.

Special educational needs coordinator/additional learning support

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

Communication & Bilingualism

A version of this policy is available in Welsh.

Equality Impact Assessment

Consultation Process

SMT, Board

Lifespan of Document

Please see the front cover for information.

The policy will be in place for 3 years before a formal review is required. JCQ issue new guidelines annually and this may require minor policy updates during this time.

Implementation Plan

Majority of content of policy is already in place. Approved policy will be sent to all relevant staff.

Key Performance Indicators & Standards

The college is subject to frequent exam inspections organised by JCQ and various awarding bodies. The inspection results are an indication of performance and standards any recommendations and actions are followed up.

The number of complaints in relation to exams is also monitored and can be used as a performance indicator.

References

Where references are made to JCQ regulations/guidelines, further details can be found at www.jcq.org.uk.

Procedure: Conducting Controlled Assessments

Scheduling

JCQ provide clear guidance on the planning of controlled assessments in order to ensure that resources such as IT equipment and classroom space are available. The guidance also mitigates the issues relating to candidates requiring additional time, or additional sessions due to absence. Deputy Directors should ensure that Tutors are adhering to this guidance wherever possible.

Supervision

External invigilators and display of the JCQ No Mobile Phone poster and the JCQ Warning to Candidates are not required. Centres must ensure that supervisors are aware of subject-specific requirements.

Centres must ensure that candidates understand what they need to do to comply with the regulations for controlled assessments as outlined in the JCQ document Information for candidates – controlled assessments -

<http://www.jcq.org.uk/exams-office/information-for-candidates-documents>

In particular, centres must ensure that candidates:

- understand that information from published sources must be referenced
- receive guidance on setting out references;
- are aware that they must not plagiarise other material

The level and type of supervision required is dependent upon the level of control defined by the awarding body for that stage of the assessment.

Formal Supervision (high level of control):

The use of resources is tightly prescribed. The centre must ensure that:

- all candidates are within direct sight of the supervisor throughout the session(s);
- display materials which might provide assistance are removed or covered;
- there is no access to e-mail, the internet or mobile phones;
- candidates complete their work independently;
- interaction with other candidates does not occur;
- no assistance of any description is provided.

Informal Supervision (medium level of control):

Candidates do not need to be directly supervised at all times. The use of resources, including the internet, is not tightly prescribed. Centres should always check the subject-specific requirements issued by the awarding body. The centre must ensure that:

- all candidates participate in the assessment;
- there is sufficient supervision to ensure that work can be authenticated;
- the work an individual candidate submits for assessment is his/her own.

Limited Supervision (limited level of control):

Work may be completed outside of the centre without direct supervision. Where limited control is specified, candidates may normally:

- have unlimited access to electronic and printed resources;
- use the internet without restriction;
- work in groups.

Advice and Feedback during Task Taking Stage

This is dependent on the level of control defined by the awarding body and the subject specific guidance they provide. *If a high level of control is specified, you must **not** provide advice or feedback of any description. Those supervising the assessment must ensure that they have read the relevant guidance and seek clarification if necessary from the Exams Team.*

Should a candidate require assistance over and above that allowed by the specification, before giving additional assistance beyond that described in the specification or subject-specific guidance, teachers must ensure that there is provision to record this assistance. Details must be documented on the record form issued by the awarding body. The intervention must be taken into account when marking the work. Annotation should be used to explain how marks were applied in the context of the additional assistance given. Failure to follow this procedure constitutes malpractice.

Keeping Materials Secure

Secure storage is defined as a securely locked cabinet or cupboard.

Secure storage is required from the point at which candidates embark on producing work for assessment. All work that will be submitted for assessment must always be collected at the end of each session and stored securely between sessions.

For high control (formal supervision) this extends to the candidates' preparatory work.

Candidates' preparatory work may be in an electronic format. The work they are producing for assessment may also be in an electronic format. Centres must take steps to ensure that they meet the requirements for secure storage described above. This may involve collecting memory sticks for secure storage between sessions or restricting candidates' access to specific areas of the centre's IT network.

Candidates work may be taken home by staff for marking provided that they take sensible precautions regarding its security.

Authentication

Each candidate must sign a declaration to confirm that the work he/she submits for final assessment is his/her own unaided work.

All supervisors must sign the declaration of authentication after the work has been completed confirming that the work:

- is solely that of the candidate concerned;
- was completed under the required conditions.

Marking

Internally marked assessments should be marked by tutors in accordance with section 5 of the JCQ guidance.

Access Arrangements

The JCQ document Access Arrangements and Reasonable Adjustments, 1 September 2015 to 31 August 2016 provides detailed information - <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>.

In principle, if a candidate has an access arrangement as part of his/her normal way of working within the centre, a similar arrangement will normally be permitted for written examinations and controlled assessment. **Centres must apply for access arrangements in advance of examinations and controlled assessments.**

All relevant staff must be aware of any access arrangements which need to be applied during a controlled assessment session.

Special Consideration

The JCQ document A guide to the special consideration process provides detailed information – <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>

Malpractice

If a tutor is concerned that malpractice may have occurred they must inform the Examinations Manager as a matter of urgency.

For detailed guidance on dealing with suspected malpractice you should refer to the JCQ document Suspected Malpractice in Examinations and Assessments: Policies and Procedures - <http://www.jcq.org.uk/exams-office/malpractice>

Candidates must not:

- submit work which is not their own;
- lend work to other candidates or allow other candidates to copy their work;
- allow other candidates to have access to their own independently sourced material;
- assist other candidates to produce work;
- use books, the internet or other sources without acknowledgement or attribution;
- submit work that has been word processed by a third party without acknowledgement

Candidates are not prohibited from lending books or other resources to one another but they must not plagiarise others' research.

The Exams Manager should refer to section 10 of the JCQ Controlled Assessment guidance for details of which reports of malpractice should be sent to awarding bodies.

If a breach of the regulations is discovered and malpractice is found by the awarding body **after** a candidate has signed the authentication statement, the awarding body will apply **one** of the following penalties:

- the piece of work will be awarded zero marks;
- the candidate will be disqualified from that unit/component for that examination series;
- the candidate will be disqualified from the whole subject for that examination series;
- the candidate will be disqualified from all subjects and barred from re-entering for a period of time.

Internal Appeals

Students have the right of appeal in situations where they feel their work has been assessed inappropriately or incorrectly.

Refer to the internal appeals policy for controlled assessments.