



Policy for the management of controlled assessments 2022/23

This policy is reviewed annually to ensure compliance with current regulations

Role Responsible:	Assistant Principal (Transition and Engagement)
Written by:	Assistant Principal (Students)
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Purpose of the policy

This purpose of this policy is to:

- *identify staff responsibilities in planning and managing GCSE & GCE controlled assessments in accordance with regulation 5.1 & 5.3 (j & k);*

[Taken from JCQ [GCSE/GCE controlled assessments - Outlining staff responsibilities \(editable template\)](#)]

- *examine potential risks and issues relating to the implementation of controlled assessment for GCSE/GCE qualifications and how these might be managed and mitigated through forward planning and remedial actions.*

[Taken from JCQ [GCSE controlled assessments - Risk management process \(editable template\)](#)]

This policy complies with JCQ's 2021/22 [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.

Outlining staff responsibilities – GCSE/GCE controlled assessments

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 Faculty and subject staff to schedule 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, time out of college etc);
- Ensure that all staff involved have a calendar of events.
- Create, publish and update an internal appeals policy for controlled assessments.

Heads of Faculty

- Decide on the awarding body and specification for a particular GCSE/GCE.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers fully understand their responsibilities with regard to controlled assessment.
- Ensure 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.
- 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.

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 office details of all unit codes for controlled assessments.
- 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 teachers 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 (Support4Learning) 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.
- Download and distribute marksheets for teaching staff to use.
- **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 senior leadership team.

Support4Learning Manager

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

Controlled Assessment Risk Management Process

Example risks and issues	Possible remedial action	Staff
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Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects and courses	Plan dates in consultation with college calendar – negotiate with other parties	Exams Manager AP (Transition and Engagement)
Too many assessments close together across subjects or courses	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates some time between assessments	DP, AP(T&E) and HoFs
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	DP, AP(T&E) and HoFs
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Exams Manager AP (Transition and Engagement)

	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	Exams 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	Exams Manager

Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Exams Manager
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		HoFs
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	Exams Manager

Example risks and issues	Possible remedial action		Staff
	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.	Seek guidance from the awarding body Exams Manager and HoFs. Provide training if required	
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	DP, AP(T&E) and HoFs

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		DP, AP(T&E) and HoFs
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.		Exams Manager

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

Completion of a study plan or study plan			
Example risks and issues	Possible remedial action		Staff
	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	Exams Manager AP (T&E)
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	Exams Manager AP(T&E)
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Exams Manager
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	Exams Manager

Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Exams Manager
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** All tasks whether set by the awarding body or the centre/consortium 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/penalties for not meeting them	Mark what candidates have produced by deadline and seek guidance from awarding body on further action.	DP, AP(T&E) and HoFs
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 Awarding Body deadlines	Seek guidance from awarding body	Exams Manager AP(T&E)
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	DP, AP(T&E) and HoFs
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	Exams Manager AP(T&E)

Example risks and issues	Possible remedial action		Staff
	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	HoFs Exams Manager
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.	DP, AP(T&E) and HoFs

In monitoring the impact of this policy and procedure, the College will have due regard to its Equality and Diversity Policy and its single Equality Duty. It will consider any concerns raised or complaints received, based on student and staff data, feedback, surveys and/or professional judgement. If you have a question or a suggestion to improve the policy, please contact the Assistant Principal (Students).

Related Policies and Guidelines

This policy is linked to the following policies and guidelines:

Staff Professional Code of Conduct

Exams Contingency Plan

Conflict of Interest Policy (Exams)

Exams Access Arrangements

Exams Coursework Malpractice Guidelines

Exams Internal Appeals Policy

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Exams Malpractice and Maladministration

Exams Vocational Coursework Policy

Exams Policy for Appeals against Internal GCE/GCSE Non-exam assessment

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