



Upper Wharfedale School

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Policy for the management of controlled assessments 2016 - 2017

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by

Mrs R Hayton – Exams Officer

Date of next review

September 2017

Contents

Purpose of the policy	Page 3
Staff responsibilities in planning and managing GCSE controlled assessment (legacy GCSE qualifications)	Pages 3-4
Risk management process	Pages 5-7

Purpose of the policy

This purpose of this policy is to ensure that:

- the planning and management of controlled assessments is conducted efficiently and in the best interests of the candidates.
- the operation of an efficient controlled assessment system with clear guidelines for all relevant staff.

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

Senior Leadership Team:

- Accountable for the safe and secure conduct of controlled assessments.
- Ensures that assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin co-ordinating with heads of department/subjects to schedule controlled assessments.
- 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.
- Create, publish and update an internal appeals policy for controlled assessments.

Heads of Departments/Curriculum Leaders:

- Decide on the awarding body and specification for a particular GCSE
- Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certified, to satisfy the terminal assessment requirement in accordance with the awarding body specification
- 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 the requirements of the awarding body's specification and are familiar with the relevant teacher's 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.

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.
- 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 regulation, only permitting assistance to students as the specification allows.
- Ensure that candidates and supervising teachers gain 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, 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 education needs coordinator (SENCO) for any assistance required for the administration and management of access arrangements.

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.

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.

Risk management process

This Appendix examines potential risks and issues relating to the implementation of controlled assessment for GCSEs and Diploma principal learning and how these might be managed and mitigated through forward planning and remedial actions at Upper Wharfedale School.

The process aims to identify the role or person

- Responsible for the risk/issue
- Accountable for the risk/issue
- Who should be consulted about this risk/issue
- Who should be informed should the risk/issue arise.

The risks and issues included are to be reviewed and approved by the Senior Leadership Team regularly to ensure that the processes are fit for purpose and compatible with existing Upper Wharfedale School policies and procedures.

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 or lines of learning	Plan dates in consultation with school calendar – negotiate with other parties	SLTs / Curr Ldrs
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	SLTs / Curr Ldrs
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	SLTs / Curr Ldrs Cover Co-Ordinator
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Curr Ldrs, IT Manager,
Downloading Award 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	Curr Ldrs, IT Manager, Exams Officer
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	Curr Ldrs, Exams Officer

Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	IT Manager, Exams Officer
Absent Candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	Arrange Invigilators if necessary to cover extra sessions.	Curr Ldr, Exams Officer
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	Curr Ldr, Exams Officer
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	SLT with Curr Ldrs and relevant teachers
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	Curr Ldrs
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		SLT, Curr Ldrs, teachers
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.		Curr Ldr, Exams Officer
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	SLT, Curr Ldr
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	SLTs / Curr Ldr

Security of Materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Curr Ldrs
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	Curr Ldrs
Insufficient or insecure storage space	Look at provision for suitable storage early in the course.	Find alternative spaces	Curr Ldrs
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.	Curr Ldrs, teachers
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	Curr Ldrs, Exams Officer
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	Curr Ldrs
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	Curr Ldrs, teachers
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	Curr Ldrs
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.	SLTs / Curr Ldrs