



School Policy 19d - Procedures for planning, managing and the Risk Assessment of Controlled Assessments

Centre No: 14302

Governors Committee Responsible for the Policy:	Curriculum
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SLT member:	Nr N Hart
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Procedures for planning and managing Controlled Assessments

The purpose of this document is to help Archbishop Tenison's staff identify their responsibilities in planning and managing Controlled Assessments. It shows how responsibilities are allocated to staff such as teachers, assessors and the senior leadership team.

It is important that there is an appropriate allocation of responsibilities.

GCSE Controlled Assessment – Outlining staff responsibilities

The Senior Leadership Team will undertake to do the following:

- Be 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 to schedule controlled assessments. It is essential 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
- Create, publish and update an internal appeals policy for controlled assessments.

Heads of Department

Heads of Department will undertake to do the following:

- 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 certificated, 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 teachers' notes and any other subject specific instructions.
- Where appropriate, develop new assessment tasks or contextualise sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements

Teaching Staff

Teaching staff will undertake to do the following:

- 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 of 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 assessments 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, 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 candidate's work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the Examination Officer in good time for any assistance required for the administration and management of access arrangements.

Examinations Officer and her Assistant

The Examinations Officer will undertake to do the following:

- Enter pupils for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter pupils' '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 by USB, CD or hard copy format.
- Download and distribute marksheets for teaching staff to use, and collect and send marksheets to awarding bodies before deadlines
- Collate marks to be entered on the Awarding Bodies' on line systems and submit 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
- Work with the SENCO to ensure Access Arrangements have been applied for
- Ensure Access Arrangement requirements (Scribes/Readers/Laptops) are met

Special Educational Needs Coordinator and her Specialist Assessor

The SENCO will undertake to do the following:

- Ensure that pupils are correctly assessed for Access Arrangements requirements
- Ensure that Access Arrangements are applied for through the JCQ AA on line application system
- Copies of complete paperwork is ready for JCQ Inspection

Risk Management Process

This section examines potential risks and issues relating to the implementation of Controlled Assessment for GCSEs and considers how these might be managed and mitigated through forward planning and remedial actions. The Examination Office has attempted to identify the persons or department

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

Risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Timetabling			
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 link
Too many 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 link
Assessments left until the last minute	Plan/establish priorities well ahead	Plan dates in consultation with school calendar and with cover diary	HODs SLT link LAL
Accommodation			
Insufficient space in classrooms for candidates	Once the size of the groups are 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	HODs SLT link GAL/LAL/MAG
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities (eg laptops)	Run consecutive sessions if necessary: source alternative facilities	HODs GAL/LAL/ICT helpdesk
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	HODs GAL/ICT helpdesk
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	HODs ICT helpdesk

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Amendments/errata notices after downloading tasks	Check integrity of materials in advance where permissible	Check for regular updates/emails from exam boards and action immediately	GAL
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report to awarding body and ask for replacement task; download again	GAL
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates, if permissible	Try to arrange session when all students are present or to put arrangements in place to preserve integrity of assessment	HODs Teaching Staff
Candidates have a scheduling clash for exams or assessment	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Provide an alternative date, where possible, consult awarding body procedures for dealing with timetabling clashes. Retakes of controlled assessment are limited	GAL
Control levels for task taking			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors are fully briefed. Circulate Controlled Assessment guidelines early in the year. Know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	HODs
Supervision			
Student study plan not provided or completed	Ensure teaching staff/assessors are aware of the need for study plans to be completed early in course	Ensure candidates start, continue and complete study plans that are signed after every session	Teachers

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
Teaching staff/assessors do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision.	Download guidance from Awarding Body	HODs GAL
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are not supervising	Arrange suitable supervisor in advance, in line with the awarding body's specification	HOD to liaise with Exams Officer to source supervision	HODs GAL
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's specification	Seek guidance from the awarding body	HODs
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately Circulate Exams Policy	Seek guidance from the awarding body	HODs
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security Check dates for release of material	Report to awarding body if assessment is compromised	GAL
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 Teaching staff to sign material in/out	HODs Teachers GAL
Insufficient or insecure storage space	Look at provision for suitable storage early in the course and ensure it is sufficient	Seek alternative storage in the school – exams office	HODs GAL

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 and seek guidance from awarding body on further action	HODs GAL
Deadlines for marking and/or paperwork not met by teaching staff/assessors	Ensure teaching staff/assessors are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork. This enables marks to be processed and submitted ahead of awarding body deadlines	Seek guidance from awarding body Liaise with HODs with deadline dates	HODs GAL
Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to their work when completed before handing in. Teaching staff to check	Candidate to be located in order to sign the form	Teachers GAL
Teaching staff /assessors fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff/assessors understand the importance of authentication forms and the requirement of a signature	Return the authentication form to staff for signature. Ensure authentication forms are signed as work is marked, not at the end of season	Teachers GAL
Marking			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practising of marking. Plan for sampling of marking during the practise phase	Arrange for re-marking. Consult the awarding body's specification for appropriate procedures	HODs
Centre does not run the standardisation activity as required by the awarding body	Plan for the requirements for standardisation for the awarding body before this activity will be conducted	Check with the awarding body whether a later standardisation event can be arranged	HODs GAL

