

# Controlled Assessment Policy

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**Formby High School**  
*Determined To Achieve*

## POLICY STATEMENT

### Context of Policy

Controlled assessment is a form of assessment at Key Stage 4 and 5.. It measures subject specific skills that may not necessarily be tested by timed written papers. The purpose of the Controlled Assessment Policy is:

- To ensure the planning and management of controlled assessments are conducted efficiently and in the best interests of the students.
- To ensure the operation of an efficient controlled assessment system with clear guidelines for all relevant staff.
- To ensure teachers are able to authenticate and confirm that students have carried out the assessment tasks set in accordance with their exam specification.

Formby High School is committed to offering equal access to all students as laid down by the Code of Practice produced by the Joint Council for Qualifications (JCQ) for conducting controlled assessments.

It is the responsibility of everyone involved in the school's controlled assessment process to read, understand and implement this policy, which will be reviewed annually by the Governing Body.

## RESPONSIBILITIES

### Governing Body:

- Monitor the implementation of the Controlled Assessment Policy and review it on a timely basis.

### Headteacher:

- Take overall responsibility for the school as a centre conducting controlled assessments.
- Responsible for reporting all suspicions or actual incidents of malpractice.
- Report to the Governing Body on the effectiveness of the implementation of the Controlled Assessment Policy.

### Senior Leadership Team:

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments* and other related documents.
- Provide Curriculum and Subject Leaders with the information, support and guidance they need in order to comply with JCQ requirements and to maximise the performance of all students.
- Arrange for the appointment of a Controlled Assessment Co-ordinator to ensure that Subject Areas have sufficient information and guidance to organise and manage their controlled assessments effectively.

### Curriculum and Subject Leaders:

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments* and other related documents.
- Understand and comply with subject-specific instructions relating to controlled assessment from each relevant awarding body.
- Decide on timings of assessment to meet requirements of terminal assessment.
- Ensure that all teachers understand their roles and responsibilities in controlled assessment and are familiar with specification requirements.
- Ensure schemes of work incorporate controlled assessment appropriately.
- Monitor the completion of controlled assessment to ensure suitable levels of control are in place.
- Consult with the Special Educational Needs Co-ordinator (SENCO) on additional arrangements which might be needed for particular candidates.
- Implement effective systems to ensure students complete controlled assessment within specified deadlines and liaise with the Climate for Learning Leader when necessary.
- Ensure systems are in place to allow students to continue completing controlled assessment in the event of the absence of a subject teacher.
- Liaise with the subject teacher, SENCO and the Senior Cover Supervisor to ensure that students who have been absent, and/or those with extra time access arrangements, are given the opportunity to complete controlled assessment.
- Arrange internal standardisation of marking by all teachers involved in assessing an internally assessed component.
- Ensure that the necessary administrative work, such as the completion sheets and declarations concerning plagiarism, has been completed by subject teachers to allow for the timely submission of controlled assessment marks.
- Collaborate with the ICT Support, subject teachers and the Examinations and Data Manager when making appropriate arrangements for the secure storage of controlled assessment materials.
- Collaborate with the Examinations and Data Manager when submitting controlled assessment marks to the relevant awarding body and dispatching students' internally assessed controlled assessments for moderation purposes.
- Ensure all work is despatched at the correct time, keeping a record of what has been sent when and to whom, and ensuring that all declarations are enclosed.
- Arrange for the storage and disposal of returned controlled assessment.

### Subject Teachers:

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments* and other related documents.
- Understand and comply with subject-specific instructions relating to controlled assessment from each relevant awarding body.
- Supervise assessments (at the specified level of control) and undertake the tasks required under the regulations, only permitting assistance to candidates as the specification allows.
- Mark the controlled assessments using the mark scheme provided by the awarding body, keeping a record of the marks awarded.

- Take part in appropriate departmental standardisation of controlled assessments.
- Make suitable provision for SEN students and, where appropriate, liaise with the SENCO when managing access arrangements.
- Liaise with the Curriculum/Subject Leader, SENCO and Controlled Assessment Co-ordinator to ensure that students entitled to extra time and absentees are given the opportunity to complete controlled assessment.
- Ensure that all paperwork is completed, including, in the case of SEN students, the declaration sheets signed by scribes (in the event of non-word processed submission).
- Give adequate notice to the SENCO for the provision of scribes (in the event of non-word processed submission).
- Ensure that the necessary administrative work, such as the completion sheets and declarations concerning plagiarism, has been completed to allow for the timely submission of controlled assessment marks.
- Collaborate with the ICT Support, Curriculum/Subject Leaders and the Examinations and Data Manager when making appropriate arrangements for the secure storage of controlled assessment materials.

#### **Examinations and Data Manager:**

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments* and other related documents.
- Understand and comply with general instructions relating to controlled assessment from each relevant awarding body.
- Download and distribute mark sheets for teaching staff to use.
- Collaborate with the Curriculum and Subject Leaders when submitting controlled assessment marks to the relevant awarding body.
- Collaborate with the Curriculum and Subject Leaders when making appropriate arrangements for the storage and transmission of information, data and confidential controlled assessment materials.
- Collaborate with the Curriculum and Subject Leaders when dispatching students' assessments for moderation.
- Post externally assessed controlled assessment which must be taken to the Examinations Office by the Curriculum and Subject Leaders by the agreed deadline for pre-booked courier collection.

#### **Special Educational Needs Coordinator (SENCO):**

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments* and other related documents.
- Co-ordinate requests for Special Access Arrangements.
- Provide adequate scribes for SEN students (in the event of non-word processed submission) where sufficient notice has been given by the subject teacher.

#### **ICT Support, Site and Administrative Staff:**

- Ensure all necessary accommodation (rooms, workshops, studios, ICT suites) and facilities (equipment, laptops, apparatus, desks and chairs) are available and in place for controlled assessment tasks.
- Arrange any additional equipment or materials which will be needed for the controlled assessment task well in advance.
- Resolve any timetabling clashes for accommodation or facilities.
- In exceptional circumstances when controlled assessments cannot be conducted in an ICT suite, arrange suitable accommodation where controlled assessments can be carried out at the direction of the Senior Leadership Team.
- Collaborate with the Curriculum/Subject Leaders and the Examinations and Data Manager when making appropriate arrangements for the suitable secure storage of controlled assessment materials.

### **Climate for Learning Leaders**

- Ensure examination expectations for controlled assessment are reinforced during assemblies.
- Support Curriculum/Subject Leaders during the controlled assessment process by promoting high expectations and intervening where necessary.

### **Students**

- Follow controlled assessment regulations and sign a declaration that authenticates the controlled assessment as their own.
- Understand and adhere to rules, instructions, timetables and deadlines as published by the subject teacher.

## PROCEDURES AND PROCESSES

The process has three stages: **task setting, task taking and task marking.**

### Task Setting:

Tasks are set either by the awarding body (high control) or by the centre (medium control) and in both cases, must be developed according to the requirements of the specification.

### Task Taking:

Controlled assessment tasks will be undertaken with three levels of supervision:

- Formal (high level of control)
- Informal (medium level of control)
- Limited (low level of control)

Curriculum and Subject leaders will be responsible for ensuring that an appropriate level of supervision is in place for each part of an assessment task. Levels of supervision are clearly outlined in each subject specification.

It is agreed that 'formal' supervision comprises:

- Candidates being under direct supervision at all times – in most cases, supervision will be undertaken by the class teacher.
- Use of resources and interaction with others being limited to what has been specified by the awarding body.
- Tasks being undertaken during normal timetabled lessons in the usual teaching base or pre-arranged ICT suites.
- Use of mobile phones and internet / email access is prohibited (except where access has been approved by the awarding body).
- If candidates have to use electronic storage devices for their assessment work or related resources, appropriate checks being made by the subject teacher to ensure only permitted material is accessible.
- Subject specific display material with direct relevance to an assessment task will be covered or removed.
- A record will be kept of the time and date of each assessment together with the name(s) of the supervisor(s) and all students present for the assessment session(s).
- A separate record of any incidents which occur during assessments will also be kept.

It is agreed that 'informal supervision' means:

- Some candidate interaction with others, including group work, is permitted.
- The level of supervision applied ensures that the teacher is able to confirm that plagiarism has not taken place and preparation for a final / formal assessment is the candidate's own work.
- Sources used by candidates are clearly recorded.

It is agreed that 'limited supervision' means:

- Some aspects of work may be undertaken completely without supervision / outside the classroom – this may include research and data collection.

- Class teachers will make close reference to the relevant awarding body's specifications when applying limited supervision.

### **Task Marking:**

- In some cases, class teachers are responsible for supervising and marking controlled assessments. In other cases the sessions will be supervised by exam invigilators and will be sent to the appropriate awarding body for marking.
- They are also required to sign a declaration confirming that candidates have completed work under the appropriate conditions and they are satisfied the work has been produced solely by the candidate.
- Formby High School will use the JCQ Declaration of Authentication for controlled assessments or a similar document provided by the relevant awarding body.
- If candidate malpractice is suspected, this will be referred to the relevant Subject Leader and Examinations Officer who will follow the guidance set out in the JCQ instructions for controlled assessment.
- Internally assessed tasks will be marked by the class teacher according to the requirements of the subject specification. Work will be annotated according to subject specification requirements.

### **Equality Act (2010), Special Educational Needs and Access Arrangements**

- Formby High School ensures it adheres to equality legislation.
- A student's special educational needs and/or disability requirements are determined by the SENCO. The SENCO can then inform individual staff of any special arrangements that individual students may be granted when completing controlled assessment.
- The SENCO must liaise with Curriculum and Subject Leaders and Examinations and Data Manager with regard to arrangements for candidates with special needs and to ensure that all information is current and available. The SENCO will ensure that the Curriculum and Subject Leaders and Examinations and Data Manager have all the necessary information for an application prior to completion of controlled assessments. The Examinations and Data Manager, together with the SENCO, will ensure that all requests for access arrangements are made online to the awarding bodies and all replies processed. Submitting completed access arrangement applications to the awarding bodies is the responsibility of the Examinations and Data Manager together with the SENCO.
- Curriculum and Subject Leaders and/or subject teachers will meet with the relevant students before the completion of controlled assessment to discuss access arrangements.
- Support for students with access arrangements will be arranged by the SENCO in collaboration with Curriculum and Subject Leaders and/or subject teachers.
- Ensure all alternative forms of access for students with SEND are provided, for example accessible equipment for wheelchair users, Braille translations of tasks, etc.
- Information regarding access arrangements can be found in the JCQ document *Instructions for conducting controlled assessments (section 6: access arrangements)*.

### **Student Behaviour and Clashes**

- School behaviour policies will be applied to all controlled assessment sessions.
- Clear rules are published and displayed on acceptable dress, behaviour and students' use of mobile phones and all electronic devices – they apply at all times.

- Disruptive students will be dealt with in accordance with JCQ guidelines and the school's Behaviour and Discipline Policy
- Students should only miss controlled assessment lessons in exceptional circumstances i.e. illness or other unplanned absences – this includes completing controlled assessment for other subjects.

### Appeals against internal assessments

- The school is obliged to publish a separate procedure on appeals for internal assessments, which is available from the Examinations and Data Office (Appendix A).

## MALPRACTICE

'Malpractice', which includes maladministration and non-compliance, means any act, default or practice which is a breach of the Regulations or which:

- Compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate; **and/or**
- Damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre.

Failure by a centre to notify, investigate and report to an awarding body any allegation of suspected malpractice constitutes malpractice.

Also, failure to take action as required by an awarding body, as detailed in this document, or to co-operate with an awarding body's investigation constitutes malpractice.

### Centre Staff Malpractice

'Centre staff malpractice' means:

- Malpractice committed by a member of staff or contractor (whether employed under a contract of employment or a contract for services) at a centre; or
- An individual appointed in another capacity by a centre such as an invigilator, an Oral Language Modifier, a practical assistant, a prompter, a reader, a scribe or a Sign Language Interpreter.

Examples of centre staff malpractice are set out in Appendix 2, Part 1 of the JCQ document, *Suspected Malpractice in Examinations and Assessments*. The examples are not an exhaustive list and other instances of malpractice may be identified and considered by the awarding bodies at their discretion.

### Candidate Malpractice

'Candidate malpractice' means malpractice by a candidate in the course of any examination or assessment, including the preparation and authentication of any controlled assessments or coursework, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper.

Examples of candidate malpractice are set out in Appendix B, Part 2 of the JCQ document *Suspected Malpractice in Examinations and Assessments*. The examples are not an exhaustive list and other instances of malpractice may be considered by the awarding bodies at their discretion.

# Controlled Assessment Policy

## Appendix A

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### Internal Assessments for External Qualifications

Formby High School is committed to ensuring that whenever staff assess work for candidates for external examinations, this is done fairly, consistently and in accordance with the specification for the qualification concerned. Assessments will be conducted by staff who have appropriate knowledge, understanding and skills, and who have been trained in this activity. The work of candidates must be produced and will be authenticated according to the requirements of the awarding body. When assessment of a piece of work is divided among several staff, consistency will be maintained through internal moderation and standardisation.

If a candidate feels that these procedures have not been carried out in relation to his/her work then he/she must first discuss the matter with the relevant Curriculum and Subject Leaders. If the problem cannot be resolved in this way, the candidate may use the formal appeal procedure outlined below.

### The Appeal Procedure

- Appeals will only be considered if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded.
- Students may appeal if they feel their controlled assessment has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification.
- Appeals should be made in writing by 30 June to the Headteacher (or other nominee) who will decide whether the process used conformed to the necessary requirements.
- The Headteacher's findings will be notified in writing, copied to the Examinations and Data Manager and recorded for awarding body inspection.

The parent or guardian of the candidate must write to the Headteacher. The application must be made as soon as the circumstances become known and always before 30 June.

The Headteacher, or a member of the Senior Leadership Team not directly involved in the assessment in question, will conduct the appeal. If the Headteacher was directly involved in the assessment in question, or is otherwise unable to investigate, the Headteacher will appoint another member of the Senior Leadership Team in his place.

The teachers who conduct the appeal will decide whether the procedures used for the internal assessment conformed to the requirements of the awarding body and the Qualifications and Curriculum Authority (QCA) Code of Practice.

The outcome of the appeal will be reported in writing to the parent or guardian of the candidate within 10 school days of receipt of the appeal. Any changes made to the assessment of the work, any changes made to improve the school's application of the procedures, and any correspondence with the awarding body will also be reported.

The appeal and outcome will be logged as a complaint under the school's complaints procedure.

The school will notify the awarding body of any outcome of the appeal that has implications for the conduct of the examination or the issue of results. A written record of the appeal will be kept and must be made available to the awarding body at their request.

### **Notes**

After work has been assessed internally it is moderated by the awarding body to ensure consistency between centres (such moderation may sometimes change the marks awarded internally).

Appeals against the marking of externally assessed examination components are dealt with after the publication of results according to the procedures published by the awarding bodies.

More information about the awarding bodies' procedures may be obtained from the Examinations and Data Manager.

Further copies of this document may be obtained on request from the Headteacher or the Examinations and Data Manager. It is also published on the school website [www.formbyhighschool.com](http://www.formbyhighschool.com).

# Controlled Assessment Policy

## Appendix B

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### Controlled Assessment Risk Management Process

See attached document.

## Formby High School – Controlled Assessment Risk Management Process

Example Risks and Issues	Possible Remedial Action		Staff
	Forward Planning	Action	
<b>Timetabling</b>			
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	Controlled Assessment Co-ordinator, Curriculum / Subject Leaders
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	Controlled Assessment Co-ordinator, Curriculum / Subject Leaders
<b>Accommodation</b>			
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	Controlled Assessment Co-ordinator, Senior Cover Supervisor
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Controlled Assessment Co-ordinator, Senior Cover Supervisor
<b>Downloading Awarding Body Set Tasks</b>			
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	Curriculum / Subject Leaders, Subject Teachers, IT support
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	Curriculum / Subject Leaders, Subject Teachers, Exams and Data Manager
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Curriculum / Subject Leaders, Subject Teachers, Exams and Data Manager

## Formby High School – Controlled Assessment Risk Management Process

<b>Absent Candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	Subjects teachers to liaise with Controlled Assessment Co-ordinator	Controlled Assessment Co-ordinator, Curriculum / Subject Leaders, Subject teachers
Candidates have a scheduling clash for exams or assessment	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	Controlled Assessment Co-ordinator, Curriculum / Subject Leaders, Subject teachers
<b>Control Levels for Task Taking</b>			
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	Curriculum / Subject Leaders, Subject Teachers
<b>Supervision</b>			
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	Curriculum / Subject Leaders, Subject Teachers
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		Controlled Assessment Co-ordinator, Curriculum / Subject Leaders, Subject teachers
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are <b>not</b> 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.	Ensure that all controlled assessment sessions take place with a suitable supervisor.	Controlled Assessment Co-ordinator, Senior Cover Supervisor

## Formby High School – Controlled Assessment Risk Management Process

<b>Task Setting</b>			
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	Curriculum / Subject Leaders, Subject Teachers
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	Curriculum / Subject Leaders, Subject Teachers
<b>Security of Materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Curriculum / Subject Leaders, Subject Teachers
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	Curriculum / Subject Leaders, Subject Teachers, IT support
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Curriculum / Subject Leaders, Subject Teachers, IT support
<b>Deadlines</b>			
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.	Curriculum / Subject Leaders, Subject 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 Awarding Body deadlines	Seek guidance from awarding body	Controlled Assessment Co-ordinator, Curriculum / Subject Leaders, Subject Teachers, Exams and Data Manager

## Formby High School – Controlled Assessment Risk Management Process

<b>Authentication</b>			
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	Curriculum / Subject Leaders, Subject Teachers, Exams and Data Manager
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	Curriculum / Subject Leaders, Subject Teachers, Exams and Data Manager
<b>Marking</b>			
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 remarking. Consult awarding body specification for appropriate procedure	Curriculum / Subject Leaders, Subject Teachers
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.	Controlled Assessment Co-ordinator, Curriculum / Subject Leaders, Subject Teachers

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

\*\* All tasks whether set by the awarding body or the centre/consortium must be developed in line with the requirements of the specification.