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# Controlled Assessment Procedure

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**Sub-Committee:** Curriculum, Assessment  
& Standards

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## 1 RATIONALE

- 1.1 To be accountable for the safe and secure conduct of GCSE controlled assessments.

## 2 AIMS

- 2.1 Ensure assessments comply with JCQ guidelines and awarding body's subject-specific instructions.

## 3 PROCEDURES

- 3.1.1 At the start of the academic year **SLT and Curriculum Leaders** to draw up a timetable for Controlled Assessment, which is published to parents/carers on the school website.
- 3.1.2 Resolve any clashes/problems over the timing or operation of controlled assessments and issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- 3.1.3 Ensure that all staff involved have a calendar of events.
- 3.1.4 Create, publish and update an internal appeals policy for controlled assessments.
- 3.2.1 **Curriculum Leaders** to 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.
- 3.2.2 Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- 3.2.3 Ensure that individual teachers understand their responsibilities with regard to controlled assessment.
- 3.2.4 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.
- 3.2.5 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.
- 3.3.1 **Teaching staff** must understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- 3.3.2 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.
- 3.3.3 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.

- 3.3.4 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.
- 3.3.5 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.
- 3.3.6 Retain candidates' work securely between assessment sessions (if more than one).
- 3.3.7 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 – suggest a timeline of one academic year?
- 3.3.8 Ensure Inclusion Coordinator (INCO) provides any assistance required for the administration and management of access arrangements.
- 3.4.1 **Exam office staff** to enter students for individual units before the deadline for final entries.
- 3.4.2 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.
- 3.4.3 Submit mark sheets to awarding bodies before deadlines.
- 3.4.4 Where controlled assessment cannot be conducted in the classroom, arrange suitable accommodation where controlled assessment can be carried out
- 3.4.5 Ensure access arrangements have been applied for.
- 3.5 **Inclusion Coordinator** to work with teaching staff to ensure requirements for access arrangements are met.

#### 4 MONITORING

- 4.1 The policy is to be reviewed if any changes are made to the JCQ guidelines before the official review date.
- 4.2 It is the responsibility of all Curriculum Leaders to adhere to the subject specific guidelines for undertaking controlled assessments and as such all Curriculum Leaders need to monitor guidance from the examination boards regularly.
- 4.3 This policy is reviewed during line management meetings with the Senior Assistant Head. Reports of examinations procedures are produced annually to ensure effective monitoring of the controlled assessment process.

#### 5. RISK ASSESSMENT

- 5.1 Controlled Assessment risk assessment guidelines can be found in Appendix 1.

## CONTROLLED ASSESSMENT RISK MANAGEMENT PROCESS 2015-2016

Risks and Issues	Forward Planning	Action	Responsibility
<b>Timetabling</b>			
Controlled assessment schedule clashes with other activities	Plan/establish priorities well ahead	Plan dates in consultation with school calendar – negotiate with other parties	Curriculum and subject leaders
Too many controlled 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	SLT, Curriculum and subject leaders
Candidates and parents are unaware of Assessment dates	Ensure candidates and parent/carers are informed of assessment dates at the beginning of the academic year	Detailed information to be included in information evening packs for KS4. KS5? Key assessment dates input into school calendar.	SLT, Exam Team, curriculum leaders
<b>Accommodation</b>			
Insufficient facilities for candidates	Careful planning ahead and booking of rooms/centre facilities	Liaise with Site, IT and Exam Teams	Curriculum Leaders and subject leaders
Classrooms not set up appropriately for high controlled assessment	Plan ahead to ensure sensitive material covered in classrooms or the class is re-roomed for the assessment	Liaise with Exam Team and/or Office Manager for rooming arrangements	Curriculum Leaders and subject leaders
<b>Technology</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 schedule date of assessment	Curriculum Leaders and subject leaders
Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure Exam Team informed so teaching staff have access rights for the correct area of awarding body secure internet sites well	

		ahead of the controlled assessment schedule.	
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	
Preparatory work and work for assessment in electronic format not stored securely	Restrict candidates' access to specific areas of IT network.	Collect memory sticks for secure storage and store in a locked cabinet.	
Electronic data storage lost or damaged	Ensure back is made and stored securely	Ensure all department aware of where data is kept and that Exam Team are also aware of any departmental processes.	
Candidate loses work if using their own devices	Back up of work to be stored at school.	All department to be aware of control procedures that are in place. Refer to JCQ document <i>A guide to the special consideration process</i> . Loss to be reported	Curriculum Leader, subject teacher
<b>Absent candidates</b>			
Candidates absent for all or part of the assessment	Plan alternative sessions for the candidate on their return		
Candidate joined the course at a late stage	Plan alternative sessions for the candidate to catch up with missed work if feasible		
Candidate absent for a long period during the terminal examination series	Special consideration application to be made provided the published criteria are met.	Consult with the awarding body and liaise with Exam Team.	
<b>Loss of work</b>			
If the candidate's work is lost and it is the responsibility of the centre	Ensure all work is kept in a secure place and that all members of the department and Exam Team are aware of control procedures.	Consult with the awarding body and liaise with the Exam Team as an application for Special Consideration can be made.	Curriculum Leader, subject leads and teaching staff
Coursework is lost or damaged before it has been marked	Ensure all work is kept in a locked area	Submit an estimated mark on Form 15-JCQ/LCW.	SLT, Curriculum Leader and subject leader, teaching staff

<b>Control levels for task taking</b>			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is involved for different level of supervision	Seek guidance from the awarding body	Curriculum and subject leaders
<b>Supervision</b>			
Student study/diary plan not provided for those subjects that need to have them completed	Ensure teaching staff are aware of the need to study/diary plans to be completed early in the course	Ensure candidates start, continue and complete study/diary plans that are signed after every session	Teaching Staff
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments	Ensure department fully briefed on Control Assessment guidelines	Curriculum and subject leads, teaching staff
Candidates do not understand what is expected of them	Ensure all staff are aware of supervision protocols and that candidates have been briefed before hand	Ensure staff and department briefed before assessment	Curriculum and subject leads, teaching staff, candidates
<b>Task Setting</b>			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body guidelines	Seek guidance from the awarding body	
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Curriculum and subject leads, teaching staff
The wrong task as been set	Ensure department aware of which tasks need to be set at the beginning of the academic year	Departments to ensure correct tasks and planning is completed before the start of the new academic year. Awarding bodies need to be contacted.	SLT, Curriculum and subject leads, teaching staff.
<b>Security of Materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the awarding body to request/obtain different assessment tasks.	Curriculum and subject leads, teaching staff

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	
Insufficient or insecure storage space	Ensure provision for suitable storage looked at before GCSE course commences	Liaise with Exam Team to see if work can be stored with them.	
Some members of department not aware where coursework is kept	Ensure all department is aware of security protocols for department and establish a signing in and out system.	Liaise with Exam Team to ensure they are aware of what security procedures are in place for department.	Curriculum and subject lead, teaching staff, Exam Team
<b>Deadlines</b>			
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. Seek guidance from awarding body on further action	Teaching staff
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines to complete marking paperwork	Liaise with Exam Team to ensure the department is aware of deadlines	Curriculum and subject leads, teaching staff, Exam Team
<b>Authentication</b>			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign. Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking.	Find candidate and ensure form is signed	Teaching staff
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature. Ensure authentication forms are signed as work is marked.	Teaching staff
<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking Plan for sampling of marking during the practice phase	Arrange for re-marking Consult the awarding body's specification for appropriate procedures	Curriculum and subject leads, teaching staff

Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation ie., when and how this activity must be conducted	Check with the awarding body whether a later standardisation event can be arranged	Curriculum and subject leads, teaching staff
<b>Malpractice</b>			
Irregularities identified by the centre prior to the candidate signing the authentication statement	Centre to deal with the irregularity under its own internal procedures. The curriculum lead, SLT link, Head and Exam officer need to be informed.	Ensure the department is aware of the school's Malpractice Procedure.	SLT, Curriculum and subject lead, teaching staff, Exam Officer