



**SOUTH MOLTON**  
COMMUNITY COLLEGE  
— supporting success —

**Policy & Guidance  
Document for  
Controlled Assessment  
at KS4**

**Adopted by the Governing Body: May 2015**

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## **Rationale:**

The purpose of this policy document is to clarify for the stakeholder the roles and responsibilities of staff here in South Molton Community College with regard to Controlled Assessments. It formalises the procedures and practices involved when planning and managing controlled assessments.

## **Introduction:**

- As part of the 2007 review of GCSE qualification and subject criteria, QCA commissioned a report on internal assessment in GCSE specifications. The subsequent report recommended that coursework should be replaced in the majority of subjects by controlled assessment;
- Controlled assessment is a form of internal assessment where the control levels (High, Medium or Low *APPENDIX 1*) are set for each stage of the assessment process: task setting, task taking and task marking. In some subjects, work will be assessed by the awarding body. For most subjects however, work will be assessed by the centre and moderated by the awarding body.

## **Roles and Responsibilities:**

### **The Vice Principal with Curriculum responsibility using the support of The Examinations Officer will:**

- Ensure, on behalf of the Principal, that each department carries out controlled assessment in accordance with the instructions issued by the Joint Council for Qualifications (JCQ);
- Co-ordinate, with Heads of Faculty or Subject Leaders, a schedule for controlled assessment to take place.
- Map overall resource management requirements for the year and 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 all stakeholders have access to a calendar of events, that highlights in broad terms the timing of assessments.
- Ensure that the internal appeals policy for internal assessments is up to date.

### **Heads of Faculty and Subject Leaders will ensure:**

- The safe and secure conduct of controlled assessment in their area and comply with JCQ guidelines and awarding bodies' subject-specific instructions;
- 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;
- All marking is standardised;
- All teachers in each department understand their responsibilities with regard to controlled assessment and are familiar with the contents of the JCQ publication "*Instructions for conducting controlled assessments*";
- Individual teachers understand the requirements of the awarding body's specification, particularly the level of control required, and are familiar with the relevant teachers' notes, and any other subject specific instruction;
- 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.
- There is a clear policy in the department handbook on the carrying out of controlled assessment and appropriate staff training takes place as appropriate;
- All confidential materials, those from the examination board, those internally produced together with the work produced by the candidates, are stored securely at all times. Secure storage is defined as a secure locked steel cabinet, a metal cabinet or similar;
- Support Staff are given sufficient notice in which to order and prepare materials needed for assessments;
- The Special Educational needs Co-ordinator (SENDCO) is informed about any assistance required for the administration and management of access arrangements;
- In the case of formal supervision (high level of control) candidates do not have access to e-mail, the internet, *mobile phones* or any other electronic devices;

- Where videos or photographs/images of the candidates are to be included as part of the controlled assessment consent is obtained from parents; (the forms completed at admission to the school will be sufficient)
- That the Examination Officer is informed of the assessment requirements and dates.
- That on request the dates of assessments are forwarded to the Vice Principal with curriculum responsibility / Exams Officer in order that the calendar of assessments events can be produced.
- That as far as is practicably possible, the calendar of assessment events, is adhered to.
- A log is kept which contains:
  - The date and time of each assessment together with its title;
  - The name of the supervising teacher;
  - A list of candidates who were present during the assessment;
  - A list of any absent candidates;
- A log of any incidents which occurred during the assessment is kept for each controlled assessment.
- The collection and collation of candidates' work and securely store it 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.
- Where digital recordings are made, eg music / languages secure back-ups must be taken

### • **Teaching staff delivering GCSE courses must:**

- 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;
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials, together with the work produced by the candidates, are stored securely at all times;
- Supervise assessments (**at the specified level of control**) and undertake the tasks required under the regulations, only permitting assistance to students as the specification allows;
- All confidential materials, those from the examination board, those internally produced together with the work produced by the candidates, are stored securely at all times.
- 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 to the relevant Head of Faculty/Subject Leader holder at the date required, keeping a record of the marks awarded;
- Materials taken off-site for marking is given the same level of security as materials used in school.
- Retain candidates' work securely between assessment sessions (if more than one);

- The candidates' work is handed to the relevant Head of Faculty/Subject Leader for secure storage until the closing date for enquiries about results.
- Where digital recordings are made, eg music / languages secure back-ups must be taken

### **The Exams Officer will:**

- 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;
- Take responsibility for receipt, safe storage and safe transmission, whether in CD, digital 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, in liaison with the Vice Principal with Curriculum responsibility;

### **Special Educational needs Co-ordinator will:**

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

## **Good Practice**

- At the start of a formal sessions of controlled assessment candidates will be reminded to turn their phone off and disable alarms;
- Staff are encouraged to go through the JCQ *Notice to Candidates* (for controlled assessments) at the start of each assessment and ensure that they fully understand the penalties incurred in the case of any kind of malpractice.

## **Student Malpractice**

### **The Principal with the support of the Vice Principal with Curriculum responsibility and Examinations Officer will:**

- report to the appropriate awarding body at the earliest opportunity all suspicions or actual incidents of malpractice;
- if the irregularity is discovered prior to the candidate signing the declaration of authentication form investigate any alleged malpractice internally and record the outcome on the authentication form supplied by the awarding body;
- if the irregularity is identified after the candidate has signed the declaration of authentication, the Principal will submit full details of the case to the relevant awarding body at the earliest opportunity;
- supervise all investigations resulting from an allegation of malpractice;
- ensure that if it is necessary to delegate an investigation to a member of staff, the member of staff chosen is independent, and not connected to the department involved in the suspected malpractice. This is to avoid conflicts of interest which can otherwise compromise the investigation;
- respond speedily and openly to all requests for an investigation into an allegation of malpractice, as this is in the best interests of centre staff, candidates and any others involved.

## **Teacher Malpractice**

- The school will carry out an investigation where it is evident that a teacher has helped a child with their controlled assessment beyond the guidelines contained within each specification;
- Where there is malpractice it will be dealt with under the school disciplinary policy and the awarding body will be informed.

## **Monitoring and evaluation**

This policy will be monitored on behalf of the Governing Body by the Governors' Curriculum Committee on a regular basis.

The policy should be read in conjunction with the:

- Exams Policy

# APPENDIX 1

## High level of control - Formal supervision

- Students must be in direct sight of the supervisor at all times.
- Use of mobile phones, MP3/4 and other electronic devices is strictly prohibited and all breaches will be noted and reported to the exams office.
- The use of resources is tightly prescribed, normally only research folders/diaries.
- Students must complete all work independently but those students who work with learning support, following an assessment, can be assisted; this is noted and declared to the examination boards.
- Students are not permitted to communicate with each other. The assessment is carried out under 'examination conditions'.
- No assistance can be given to students.

## Medium level of control - Informal supervision

- Students do not have to be directly supervised at all times but there must be adequate supervision to ensure that work can be authenticated.
- Use of mobile phones, MP3/4 and other electronic devices is strictly prohibited and all breaches must be noted and reported to the exams office.
- Teachers must ensure that:
  - the students' work is their own
  - plagiarism does not take place
  - the contributions of individual students are recorded accurately.
- Students have access to resources.
- Students can receive limited teacher guidance.

## Low level of control - Limited supervision

- Some work can be completed without supervision, outside the classroom/centre.
- Students will be given guidance on how to complete low control tasks. They are usually research tasks that students can collect at home and bring to class.
- Students have access to resources such as books and files during low control tasks.
- Students can work together to collect information but how they use this information in their work must be on an individual basis.
- Students can receive guidance from teachers during low control tasks.