



## Statement of Policy on the management of GCSE controlled assessments, including risk management and staff responsibilities.

### RATIONALE

- ☞ To outline the procedures for administration of controlled assessment at KS4 including potential risks and their management.

### AIMS

- Controlled assessment at Prestwich Arts College is conducted in accordance with the guidelines set by the above professional bodies.
- Controlled assessment is conducted by members of staff who have the appropriate knowledge, understanding and skills in order to manage the completion of controlled assessment within their department.
- Evidence is provided by the candidate, for each subject, to authenticate their own work within the controlled assessment element of their course. This procedure is to be administered by the member of staff responsible for administering the controlled assessment.

This purpose of this policy is to:

- *identify staff responsibilities in planning and managing GCSE controlled assessments;*  
[Taken from JCQ [GCSE controlled assessments - Outlining staff responsibilities \(editable template\)](#)]
- *examine potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions.*  
[Taken from JCQ [GCSE controlled assessments - Risk management process \(editable template\)](#)]

This policy complies with JCQ's 2017/18 [General Regulations](#) 5.8 in that the centre is required to "have in place, and be available for inspection purposes, a **written** policy with regard to the management of GCSE controlled assessments".

This policy does not cover specific [instructions for conducting controlled assessments](#) which are provided by JCQ and awarding bodies.

### **This policy must be read in conjunction with:**

- Internal appeals procedure
- Disability Policy (Exams and controlled assessment)
- All other examinations/ assessment policies

## **PRACTICES**

- This policy is reviewed annually to ensure compliance with current regulations

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

#### **SLT**

Head Teacher:	Miss R Evans (Safeguarding)
Deputy Head:	Ms N Smith (Curriculum)
Deputy Head:	Mr D Wright (Pastoral)
Assistant Head:	Mr Phil Taylor (Curriculum)
Assistant Head:	Mr D Lyons (SEN)
Assistant Head:	Miss H Pickavance (Careers)

#### **Head of Faculty**

Mathematics	Mr Wilkes
English	Mr R Higson
Science	Mr Rollinson
Modern Languages	Mrs Bailey
Design Technology	Mr Howells (ICT and all three DT subjects)
Humanities	Mr Jackson (Geography & History)
PSHE	Miss Leary (Citizenship, RE, PE, Business, H&SC)
The Arts	Mrs Farrington-Evans (Music, Drama, Media, Performing Arts)

#### **Assistant Heads of Faculty**

Food & Textiles	Mrs Hill
Resistant Materials	Mrs Thom
Art	Miss Crowder
ICT	Mr Rawcliffe
Business	Miss C Waters
PE	Miss Kelly
H&SC	Miss Rundle

#### **Teaching Staff**

See main list in relevant academic year folder of staff drive

#### **Examinations Officer**

Mrs C Linton full time

#### **Deputy Examinations Officer (dual role with faculty technician)**

Mrs M Jamil 4 hours per week, facilitates Access Arrangements

#### **SENCo**

Mr D Lyons

### **Outlining staff responsibilities - GCSE controlled assessments**

#### **Senior leadership team**

- 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, via RST and line management meetings begin coordinating schedule of controlled assessments. (It is advisable that controlled assessments are spread throughout the academic years of Key Stage 4.)

- Oversee overall resource management requirements for the academic 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- see year planner
- Create, publish and update an internal appeals policy for controlled assessments.

### ***Heads of Faculty***

- Decide on the awarding body and specification for a particular GCSE/ qualification
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers fully understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers fully understand the requirements of the awarding body's specification, are familiar with the relevant teachers' notes **and** any other subject specific instructions.
- Where appropriate, develop new assessment tasks or adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body's specification and control requirements.

### ***Teaching staff***

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body's 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 regulations, only permitting assistance to candidates as the specification allows.
- Ensure that candidates and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark scheme provided by the awarding body. Submit marks to the awarding body by the published deadline, 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 educational needs coordinator (SENCo) for any assistance required for the administration and management of access arrangements.

### ***Exams office staff***

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 marksheets for teaching staff to use.
- **In exceptional circumstances** where controlled assessments cannot be conducted in the classroom, arrange suitable accommodation where controlled assessments 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				
Example risks and issues	Possible remedial action		Staff	
	Forward planning	Action	<b>Responsible</b> for the risk/issue; <b>Accountable</b> for the risk/issue; Who should be <b>consulted</b> about this risk/issue; Who should be <b>informed</b> if the risk/issue arises;	
<b>Timetabling</b>				
Controlled 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 and maintain the school diary	<b>R</b>	NS/PT
			<b>A</b>	HOF
			<b>C</b>	NS / CLL / HOF
			<b>I</b>	CLL
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	<b>R</b>	NS/PT
			<b>A</b>	HOF
			<b>C</b>	NS / CLL / HOF
			<b>I</b>	CLL
<b>Accommodation</b>				
Insufficient space in classrooms for candidates	Once the size of the cohort is 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	<b>R</b>	CLL
			<b>A</b>	CLL
			<b>C</b>	NS - SLT
			<b>I</b>	NS - SLT
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		<b>R</b>	CLL
			<b>A</b>	CLL
			<b>C</b>	NS - SLT
			<b>I</b>	NS - SLT

## RISK MANAGEMENT PROCESS

Example risks and issues	Possible remedial action		Staff	
	Forward planning	Action	<b>Responsible</b> for the risk/issue; <b>Accountable</b> for the risk/issue; Who should be <b>consulted</b> about this risk/issue; Who should be <b>informed</b> if the risk/issue arises;	
<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	<b>R</b>	HOF
			<b>A</b>	ICT
			<b>C</b>	CLL / ICT / HOF
			<b>I</b>	CLL
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	<b>R</b>	ICT / TEACHER
			<b>A</b>	ICT / TEACHER / CLL
			<b>C</b>	ICT / HOF / CLL
			<b>I</b>	ICT / HOF/ CLL
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	<b>R</b>	ICT / HOF
			<b>A</b>	ICT / HOF
			<b>C</b>	HOF / CLL
			<b>I</b>	ICT
<b>Absent candidates</b>				
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	Teaching staff liaise with HOF and other staff within centre if appropriate to arrange alternative session.  Contact awarding body for advice if time does not allow alternative sessions	<b>R</b>	HOF
			<b>A</b>	HOF
			<b>C</b>	PASTORAL/CLL
			<b>I</b>	PASTORAL/CLL

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Example risks and issues	Possible remedial action		Staff	
	Forward planning	Action	<b>Responsible</b> for the risk/issue; <b>Accountable</b> for the risk/issue; Who should be <b>consulted</b> about this risk/issue; Who should be <b>informed</b> if the risk/issue arises;	
<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 applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	<b>R</b>	TEACHER
			<b>A</b>	TEACHER / HOF
			<b>C</b>	HOF/D
			<b>I</b>	SLT
<b>Supervision</b>				
Student study diary/plan not provided or completed*	Ensure teaching staff 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	<b>R</b>	TEACHER
			<b>A</b>	TEACHER / HOF
			<b>C</b>	HOF
			<b>I</b>	SLT
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	Discussion / training / go through JCQ booklets at faculty meetings prior to controlled assessment periods	<b>R</b>	HOF
			<b>A</b>	HOF/Teacher
			<b>C</b>	HOF
			<b>I</b>	NS/PT
			<b>R</b>	CLL

A suitable supervisor has not been arranged for an assessment where teaching staff are <b>not</b> supervising	A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the awarding body's specification	Ensure cover supervisors are aware of controlled assessment guidelines and can cover sessions in line with exam board policy documentation. Teacher to ensure integrity of session can still be met.	<b>A</b>	HOF/TEACHER
			<b>C</b>	HOF / CLL
			<b>I</b>	CLL
Candidates cheating during controlled assessment- entering work which is not their own, copying, using sources without attribution.	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments and reporting any irregularities prior to the candidate signing declaration sheet  Teachers must remind candidates to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means	These actions constitute malpractice, for which a penalty, (e.g. disqualification from the assessment) will be applied. <b>Teachers must inform candidates of the JCQ regulations concerning malpractice</b> , as detailed in the JCQ booklet <i>Suspected Malpractice in Examinations and Assessments: Policies and Procedures</i> . The JCQ document Information for candidates – Guidelines when referring to examinations/assessments through the Internet should be brought to the attention of candidates - <a href="http://www.jcq.org.uk/exams-office/information-for-candidates-documents/information-for-candidates---social-media">http://www.jcq.org.uk/exams-office/information-for-candidates-documents/information-for-candidates---social-media</a>	<b>R</b>	TEACHER
			<b>A</b>	HOF/TEACHER
			<b>C</b>	HOF / CLL/SLT
			<b>I</b>	CLL/NS

\* Not all GCSE controlled assessments will require the completion of a study diary or study



## RISK MANAGEMENT PROCESS

Example risks and issues	Possible remedial action		Staff <b>Responsible</b> for the risk/issue; <b>Accountable</b> for the risk/issue; Who should be <b>consulted</b> about this risk/issue; Who should be <b>informed</b> if the risk/issue arises;	
	Forward planning	Action		
<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's specification**	Seek guidance from the awarding body	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	CLL/NS
			<b>I</b>	NS
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	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	CLL/NS
			<b>I</b>	NS/PT
<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	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	CLL / TECHNICIANS
			<b>I</b>	NS
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	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	CLL / TECHNICIANS
			<b>I</b>	NS

Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	CLL / TECHNICIANS
			<b>I</b>	NS
Storage of controlled assessment in case of appeal	Look at provision for suitable storage at the start of the GCSE course, ensure all coursework is kept securely in Faculty areas for three months post results	Find alternative storage within the centre	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	CLL / TECHNICIANS
			<b>I</b>	NS

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

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<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	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	CLL / NS
			<b>I</b>	SLT
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines)	HOF to mark what candidates produced  Seek guidance from awarding body	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HO
			<b>C</b>	CLL / NS
			<b>I</b>	SLT
<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 authentication form is signed	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	CLL / TECHNICIANS
			<b>I</b>	NS / PT
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	<b>R</b>	TEACHER / HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	TECHNICIANS
			<b>I</b>	NS

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Example risks and issues	Possible remedial action		Staff	
	Forward planning	Action	<b>Responsible</b> for the risk/issue; <b>Accountable</b> for the risk/issue; Who should be <b>consulted</b> about this risk/issue; Who should be <b>informed</b> if the risk/issue arises;	
<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	<b>R</b>	TEACHER/HOF
			<b>A</b>	TEACHER / HOF
			<b>C</b>	SLT
			<b>I</b>	NS
Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation, i.e. when and how this activity must be conducted	Check with the awarding body whether a later standardisation event can be arranged	<b>R</b>	HOF
			<b>A</b>	HOF
			<b>C</b>	TEACHER
			<b>I</b>	SLT

Prepared by:

Nicola Smith

Date Reviewed:

November 2017

Next review:

November 2018

Signed:



Head Teacher

Signed:



Chair of Governors



### **Declaration of Authentication – coursework assessments**

Each candidate **must** sign a declaration when submitting their coursework to their subject teacher/assessor for final assessment. This is to confirm that the work is their own and that any assistance given and/or sources used have been acknowledged. **Ensuring that they do so is the responsibility of centres.**

**(A candidate is defined as someone for whom an entry is in place for the unit or qualification.)**

Awarding bodies may issue Declaration of Authentication forms to centres, which will replicate some or all of the wording detailed below. Alternatively, the following text may be used as guidance by those centres who wish to create their own documentation.

**The work you submit for assessment must be your own.**

**If you copy from someone else, allow another candidate to copy from you, or if you cheat in any other way, you may be disqualified from at least the subject concerned.**

### **Declaration by candidate**

I have read and understood the **Information for candidates (GCE, ELC and Project qualifications, coursework assessments)**. I have produced the attached work without assistance other than that which is acceptable under the scheme of assessment.

**(For ELC qualifications if necessary, the teacher can complete this section on behalf of the candidate. The text **must** be explained to the candidate before the teacher signs the form.)**

**Candidate's name:**.....

**Candidate's signature:**.....**Date:**.....

### **Declaration by teacher**

I confirm that:

1. the candidate's work was conducted under the conditions laid out by the specification;
2. I have authenticated the candidate's work and am satisfied that to the best of my knowledge the work produced is solely that of the candidate.

**Teacher's name:**.....

**Teacher's signature**.....**Date:**.....



**Consent Form – Controlled Assessments**

Regarding Subject Controlled Assessment Task: \_\_\_\_\_

**Declaration by candidate**

*I have understand that some of the evidence for my controlled assessment tasks for the above subject may be submitted in the form of video or photo. I agree to the school using my images etc in order to meet the criteria for the task.*

**Candidate's name:**.....

**Candidate's signature:**..... **Date:**.....

**Declaration by parent / guardian**

*I agree to the school using images of my son/daughter in the form of videos, photographs etc as evidence in order to meet the criteria to complete the controlled assessment task for the above subject.*

**Candidate's name:**.....

**Candidate's signature:**..... **Date:**.....

**Declaration by teacher / HOD**

*I confirm that any images this department may capture of the above candidate in the form of videos, photographs etc will only be used as evidence in order to meet the criteria to complete the controlled assessment task for the above subject.*

**Candidate's name:**.....

**Candidate's signature:**..... **Date:**.....