Management of controlled assessment procedure

This procedure is reviewed annually to ensure compliance with current regulations

Contents

Purpose of the procedure

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

Risk management process

Purpose of the procedure

This purpose of this procedure 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 procedure complies with JCQ's 2016/17*General Regulations* 5.8 in that the centre is required to *"have in place, and be available for inspection purposes, a **written** procedure with regard to the management of GCSE controlled assessments".*

This procedure does not cover specific *instructions for conducting controlled assessments* which are provided by JCQ and awarding bodies.

AQA   CCEA   Edexcel   OCR   WJEC

For use by exams office staff

GCSE controlled assessments
Outlining staff responsibilities (editable example document)

The purpose of the editable example document that follows (**see pages 2 and 3**) is to help exams office staff identify their responsibilities in planning and managing GCSE controlled assessments alongside other colleagues.
It shows how responsibilities might be allocated to colleagues such as teachers and the senior leadership team.

Using the example document

Centres may choose to divide responsibilities in the ways suggested. Equally, they may find an entirely different way of working that is more appropriate for their needs. What is important is that there is a timely allocation of responsibilities.

Centres adapting this example document for their own requirements **must** ensure that:

- new versions are reviewed and approved by appropriate members of the senior leadership team; **and**
- they are fit for purpose **and** compatible with the existing policies and procedures of the centre.

Please note that this guidance is not part of the example document and must not be altered.

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

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, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments are spread throughout the academic years of Key Stage 4.)

- Map overall resource management requirements for the academic year. As part of this resolve:

    o clashes/problems over the timing or operation of controlled assessments;
    o 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 procedure for controlled assessments.

Subject Leaders/Curriculum Leaders

- Decide on the awarding body and specification for a particular GCSE.

- 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

Joint Council for Qualifications

| AQA | CCEA | Edexcel | OCR | WJEC |

For use by exams office staff

GCSE controlled assessments

Risk management process: to be completed as appropriate by each school

This editable template examines 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. We hope it will provide a useful starting point for exams office staff when discussing with colleagues risks and issues that might apply to their centre.

Using the risk management process template

The list of possible risks and issues featured in this template is purely illustrative for an individual centre to consider and adapt to their own needs. There are blank rows under each heading for you to fill in.

A blank column entitled 'Staff' has been included on the template so centres can list the person
(or role):

- **responsible** for the risk/issue;
- **accountable** for the risk/issue;
- who should be **consulted** about this risk/issue;
- who should be **informed** if the risk/issue arises;

Please note: the above guidance is not part of the template and must not be altered.

Risk management process – editable template

Example risks and issues	Possible remedial action		Staff
	Forward planning	*Action*	
Timetabling			
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	(insert names)
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	
Accommodation			
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	
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action		Staff
	Forward planning	*Action*	
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	
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	
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action		Staff
	Forward planning	*Action*	
Control levels for task taking			
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	
Supervision			
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	
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		
A suitable supervisor has not been arranged for an assessment where teaching staff are **not** 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		

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

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action		Staff
	Forward planning	*Action*	
Task setting			
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	
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	
Security of materials			
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	
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	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	

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

Please note: The risks and issues included in this template are illustrative only

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 Seek guidance from awarding body on further action	
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)	Seek guidance from awarding body	
Authentication			
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	

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	

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action		Staff
	Forward planning	*Action*	
Marking			
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	
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	

Please note: The risks and issues included in this template are illustrative only