



HEADLANDS SCHOOL  
SINCE 1965

# Controlled Assessment Policy

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## **Headlands School**

### **Controlled Assessment Policy**

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#### **Rationale**

Controlled Assessment is internal assessment that replaces GCSE coursework from September 2010 and it also contributes to principle learning in the Diploma. It has been introduced by the Qualifications and Curriculum Development Agency to address some of the issues raised in coursework, such as plagiarism, teacher assistance and parental intervention.

#### **Principles**

Controlled Assessment:

- Enables a more integrated approach to teaching, learning and assessment
- Provides an increased facility to ensure that work is the student's own
- Enables teachers to choose the timing of the controlled assessment
- Enables teachers to select from a choice of tasks and contextualise them
- Is viewed as part of the work of the course, rather than a separate activity. It is an integral part of teaching and learning
- Usually takes place in the classroom, within the normal timetable
- Features levels of control designed to maximise reliability and authenticity.

#### **Structure / Responsibilities**

##### **Levels of control**

As the name (Controlled Assessment) suggests, it applies increased control over assessment of students' work at three critical points:

- Task setting
- Task taking
- 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.

Subject leaders are responsible for obtaining assessment task details from the exam boards and deciding the most appropriate time for assessment to take place.

### **Task Taking**

Teachers will ensure that the correct level of control is enforced at the appropriate time by following the instructions given in their chosen Specifications.

#### **Formal supervision (high level of control)**

- Students must be in direct sight of the supervisor at all times
- The use of resources is tightly prescribed, normally only research folder/diaries
- Students must complete all work independently
- No assistance can be given to students.

Teachers must ensure that any display material which might provide assistance is removed or covered

#### **Informal supervision (medium level of control)**

- Students do not have to be directly supervised at all times but there must be adequate supervision to ensure that work can be authenticated
- Teachers must ensure that
  1. The students' work is their own
  2. Plagiarism does not take place
  3. The contributions of individuals are recorded accurately
  4. Students have access to resources.

However:-

1. Students can work together
2. Students can receive limited oral and written guidance but model answers and writing frames are not permitted.

#### **Limited supervision (low level of control)**

- Some work can be completed without supervision, outside the classroom/centre
- Students have access to resources
- Students can work together
- Students can receive guidance from teachers.

### **Research diary / folder**

Each student should have a research diary / folder in which to record their research, planning, resources etc. It provides evidence that each student's final assignment is their own work and that the ideas are their own. It should contain a note of all the sources used such as books, websites, DVDs etc (bibliography). It should also record all teacher feedback given to students. It may contain a plan but should not contain any lengthy passages of prose that can be copied out in the final assessment.

Students may have access to their diary during the high control write-up phase but once this phase has started, no new material can be introduced into the research diary.

The use of the internet is permissible during the research and planning stages.

Word processors may be used without prior approval unless stated otherwise in an awarding body's specification. However during the high control write-up phase access to the internet and all unauthorised content should be removed or made inaccessible from the machine.

**Storage of work**

Throughout the assessment period, all assessment materials (including mark schemes and student work) must be stored securely, usually in a locked cabinet/cupboard. Work produced over several sessions must be collected at the end of each session and stored securely, including, if appropriate, research folders / diaries. Work produced electronically must be saved securely to ensure it cannot be amended between sessions. Work stored on memory sticks etc. should also be collected in after each session.

In some cases, where students are producing artefacts in Design & Technology or artwork in Art & Design, the locked classroom, studio or workshop will count as secure storage.

**Access Arrangements**

Through communication with the Support for Learning Department, teaching staff should ensure that they are aware of any access arrangements which need to be applied during an assessment session. If a student has an access arrangement as part of his / her normal way of working and he / she requires such an arrangement for the written component(s) then a similar arrangement should be made for the controlled assessment.

Authentication forms must be signed by the teachers and candidates.

Attendance records from assessment sessions should be kept by the class teacher.

If a student is absent the teacher should ensure that an opportunity is given to them to make up the missed controlled assessment. An alternative supervised session may be organised.

**Task Marking**

Teachers will mark work using the marking descriptions and other guidance provided by the Examination Board. The work will be standardised internally in line with school policy and prepared for external moderation in line with the requirements set by the Examination Board.

Where appropriate, work submitted may also include printouts / copies of presentations, charts, artefacts, photographs, letters, videos, recordings or transcripts of interviews, as well as witness statements from supervising teachers to record what a candidate has demonstrated. Valuable illustrative materials should not normally be included with the work sent for moderation or external marking, but a note should be attached to the work confirming that the material was part of the original submission.

For moderation or external marking purposes, typed or written work should be submitted on appropriately sized paper in a plain cover or folder, together with the cover sheets provided by the awarding body. If an assignment is word processed, the candidate must ensure that his / her name appears on each page as a header or footer.

Departments must not release or dispose of students' work until after the closing date for enquiries about results or any subsequent appeal. Any concerns about malpractice should be discussed with the Examinations Officer and dealt with in accordance with school policy and exam board regulations.

## **Appeals**

Should there be an opportunity where the awarded grade is not as expected, the school can request a post-results review of moderation to ensure that the assessment criteria have been fairly, reliably and consistently applied.

**This service is not available if the centre's marks have been accepted without change by an awarding body.**

### **Review of moderation**

- Is a process in which a second moderator reviews the work of the first moderator. The second moderator sees the original marks and any annotations made by the first moderator to gain a full and clear understanding of whether the assessment criteria have been applied as intended
- Is undertaken on the original sample of candidates' work
- Includes feedback similar to that provided following the original moderation. (If centre marks are reinstated, feedback may not be provided).

A review of moderation will not be undertaken upon the work of an individual candidate or the work of candidates not in the original sample (unless there was a fault in the selection of the original sample, e.g. insufficient candidates included).

The work submitted for a review of moderation:

- Must be despatched to the moderator within three working days – failure to meet this undertaking may delay the outcome of the enquiry
- Must be the original work submitted for moderation
- Must have been kept under secure conditions
- Must not have been returned to the candidates.

If the original sample of candidates' work has been lost, an equivalent sample may be requested by the awarding body.

## Management of issues and potential risks associated with non-examination assessments

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Task Setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	<p>Awarding body key date for accessing/downloading set task noted prior to start of course</p> <p>IT systems checked prior to key date</p> <p>Alternative IT system used to gain access</p> <p>Awarding body contacted to request direct email of task details</p>	Exams Office / ICT
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<p>Ensures that subject teachers access awarding body training information, practice materials, etc.</p> <p>Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification</p> <p>Sample assessment criteria in the centre set task</p>	HOD
Candidates do not understand the marking criteria and what they need to do to gain credit	<p>A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates</p> <p>Records confirm all candidates understand the marking criteria</p> <p>Candidates confirm/record they understand the marking criteria</p>	Subject Teacher / HOD
Issuing of tasks		
Task for legacy specification given to candidates undertaking new specification	<p>Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications</p> <p>Awarding body guidance sought where this issue remains unresolved</p>	HOD
Awarding body set task not issued to candidates on time	<p>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course</p> <p>Course information issued to candidates contains details when set task will be issued and needs to be completed by</p> <p>Set task accessed well in advance to allow time for planning, resourcing and teaching</p>	HOD
The wrong task is given to candidates	<p>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates</p> <p>Awarding body guidance sought where this issue remains unresolved</p>	HOD
A candidate (or parent/carer) expresses concern about	Ensures the candidate's presentation does not form part of the sample which will be recorded	Exams Officer /

safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample	Safeguarding Lead / SLT
Task Taking		
Supervision		
Planned assessments clash with other centre or candidate activities	<p>Assessment plan identified for the start of the course</p> <p>Assessment dates/periods included in centre wide calendar</p>	Exams Officer
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<p>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course</p> <p>Staggered sessions arranged where IT facilities insufficient for number of candidates</p> <p>Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</p>	SLT / Exams Officer
Insufficient supervision of candidates to enable work to be authenticated	<p>Confirm subject teachers are aware of and follow the current JCQ publication</p> <p>Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates</p> <p>Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</p>	Exams Officer
A candidate is suspected of malpractice prior to submitting their work	<p>Instructions and processes in the current JCQ publication</p> <p>Instructions for conducting non-examination assessments (section 9 Malpractice) are followed</p> <p>An internal investigation and where appropriate internal disciplinary procedures are followed</p>	Exams Officer / Head of Centre
Access arrangements were not put in place for an assessment where a candidate is approved for access arrangements	<p>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate</p>	Exams Officer / SENCO
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<p>Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures</p> <p>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</p>	SLT / HOD



	<p>Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component</p> <p>Candidate confirms/records advice and feedback given prior to starting on their work</p>	
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	<p>Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures</p> <p>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</p> <p>Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component</p> <p>Candidate confirms/records advice and feedback given during the task-taking stage</p>	SLT / HOD
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	<p>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant</p> <p>Records as detailed above are provided to confirm all assistance given</p> <p>Where appropriate, a suspected malpractice report is submitted to the awarding body</p>	Head of Centre
Candidate does not reference information from published source	<p>Candidate is advised at a general level to reference information before work is submitted for formal assessment</p> <p>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</p> <p>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</p>	HOD / Exams Officer / Subject Teacher
Candidate does not set out references as required	<p>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment</p> <p>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</p> <p>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</p>	HOD / Exams Officer / Subject Teacher
Candidate joins the course late after formally supervised task taking has started	<p>A separate supervised session(s) is arranged for the candidate to catch up</p>	HOD / Subject Teacher

Candidate moves to another centre during the course	Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place	Exams Officer
An excluded pupil wants to complete his/her non-examination assessment(s)	<p>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education</p> <p>If so, arrangements for supervision, authentication and marking are made separately for the candidate</p>	Exams Officer
Resources		
A candidate augments notes and resources between formally supervised sessions	<p>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions</p> <p>Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions</p> <p>Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</p>	Subject Teacher / Exams Officer / HOD
A candidate fails to acknowledge sources on work that is submitted for assessment	<p>Candidate's detailed record of his/her own research, planning, resources, etc. is checked to confirm all the sources used, including books, websites and audio/visual resources</p> <p>Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately</p> <p>Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate</p>	Subject Teacher / Exams Officer / HOD
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	<p>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory</p> <p>Where limits are for guidance only, candidates are discouraged from exceeding them</p> <p>Candidates confirm/record any information provided to them on word or time limits is known and understood</p>	Subject Teacher / HOD
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	<p>Records confirm the awarding body specification has been checked to determine if group work is permitted</p> <p>Awarding body guidance sought where this issue remains unresolved</p>	HOD
Authentication procedures		

A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment	Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work	Exams Officer
Candidate plagiarises other material	Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments	
	Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments	
	The candidate's work is not accepted for assessment	
	A mark of zero is recorded and submitted to the awarding body	
Candidate does not sign their authentication statement/declaration	Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments	HOD / Exams Officer / Subject Teacher
	Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessment	
	Declaration is checked for signature before accepting the work of a candidate for formal assessment	
Subject teacher not available to sign authentication forms	Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures	HOD / Subject Teacher
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their work submitted for formal assessment	Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment	Teacher / HOD / Exams Officer
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments	Exams Officer
	Regular monitoring/internal audit ensures subject teachers use of appropriate secure storage	
Adequate secure storage not available to subject teacher	Records confirm adequate/sufficient secure storage is available to subject teachers prior to the start of the course	Exams Officer
	Alternative secure storage sourced where required	
Task marking - externally assessed components		

A candidate is absent on the day of the examiner visit for an acceptable reason	Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate  If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate	Exams Officer
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked as absent on the attendance register	Exams Officer
Task marking - internally assessed components		
A candidate submits little or no work	Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body  Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body	Subject Teacher / HOD / Internal Assessor / Exams Officer
A candidate is unable to finish their work for unforeseen reason	Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work	Exams Officer
The work of a candidate is lost or damaged	Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work	Exams Officer
Candidate malpractice is discovered	Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed  Investigations and reporting procedures in the current JCQ publication Suspected Malpractice in Examinations and Assessments are followed  Appropriate internal disciplinary procedures are also followed	Head of Centre / SLT / Exams Officer
A teacher marks the work of his/her own child	A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course  Marked work of said child is submitted for moderation whether part of the sample requested or not	Exams Officer
An extension to the deadline for submission of marks is required for a legitimate reason	Awarding body is contacted to determine if an extension can be granted	Exams Officer

	Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension	
After submission of marks, it is discovered that the wrong task was given to candidates	Awarding body is contacted for guidance Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates	Exams Officer
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body Records confirm candidates have been informed of their marks Candidates are informed that these marks are subject to change through the awarding body's moderation process Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks Candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body	Subject Teacher / HOD
Deadline for submitting work for formal assessment not met by candidate	Records confirm deadlines given and understood by candidates at the start of the course Candidates confirm/record deadlines known and understood Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate	Subject Teacher / HOD / Exams Officer
Deadline for submitting marks and samples of candidates work ignored by subject teacher	Internal/external deadlines are published at the start of each academic year Reminders are issued through senior leaders/subject heads as deadlines approach Records confirm deadlines know and understood by subject teachers Where appropriate, internal disciplinary procedures are followed	HOD / SLT