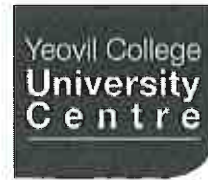# CONTROLLED ASSESSMENTS POLICY

PURPOSE OF THE POLICY

To provide support, guidance and define responsibilities to curriculum areas and management for controlled assessments as a form of internal assessment where control levels are set for each stage of the assessment process.

SCOPE

This policy applies to all controlled assessment activities and procedures that are within the control of the College. It does not cover external examination.

What is controlled assessment?

Controlled assessment is a form of internal assessment where the control levels are set for each stage of the assessment process: task setting; task taking and task marking.

Controlled assessment can apply to most qualifications, including most notably:

- Functional Skills entry level
- CACHE
- BTECs
- A levels

Controlled assessment measures subject specific skills that may not necessarily be tested by external assessment.

Depending on the level of control defined within the specification, controlled assessments may take place for example:

- In a normal timetabled lesson or other defined session under supervised conditions;
- Entirely within the centre under supervision with controlled access to resources; or
- Outside the centre and involve research with limited supervision.

Controlled assessments may take place at any time during the course. However, centres must ensure that the controlled assessment task issued to candidates is appropriate to the year in which the assessment will be submitted to the awarding body.

There is a requirement from the Joint Council for Qualifications (JCQ) for centres to have in place a policy with regard to the management of controlled assessments. JCQ centre inspectors will check with the Exams Office that such a policy has been put in place within the centre. The policy should cover procedures for **planning and managing controlled assessments**, including **staff responsibilities** and **risk management**.

This centre (63459) operates controlled assessments under the guidance issued by the JCQ with staff responsibilities and risk management as outlined in this document.

RESPONSIBILITY AND AUTHORITY

CMT/SMT will ensure:

- Accountability 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, Curriculum Area Managers, co-ordinating with their programme managers, schedule controlled assessments and advise the Exams Manager should any qualifications require specific secure website access which is controlled by the Exams Manager.

- When scheduling controlled assessments they do not impact where reasonably practicable on a persons protected characteristic including religious fasting and disability and that their individual needs are met with appropriate resources and timings.

- Directors and Head of Quality Assurance, Teaching, Learning & Assessment map overall resource management requirements for the 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 college etc.)

- That all staff involved have a calendar of events.

- Create, publish and maintain an internal appeals policy for controlled assessments.

Curriculum Area Managers/Programme Managers will:

- Decide on the awarding body and specification for a particular qualification in consultation with the Head of Quality Assurance, Teaching, Learning & Assessment.

- Standardise internally the marking of all lecturers involved in assessing an internally assessed component.

- Ensure that individual curriculum staff members understand their responsibilities with regard to controlled assessment.

- Ensure that individual curriculum staff members understand the requirements of the awarding body's specification and are familiar with the relevant guidance and subject specific instructions.

- 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.

Lecturing staff will:

- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions 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 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 students as the specification allows.

- Ensure that students and supervising lecturers sign authentication forms on completion of an assessment.

- 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.

- 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.

- Implement learners' additional support requirements which should be their normal and approved way of working, seeking assistance from the Learning Support Practitioners as necessary

Exams Office staff will:

- Where confidential materials are directly received by the Exams Office, be responsible for receipt, safe storage and safe transmission, whether in CD 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.

- **In exceptional circumstances** where controlled assessment cannot be conducted in the classroom, arrange suitable accommodation where controlled assessment can be carried out, at the direction of the senior leadership team.

Additional Learner Support Manager will:

- Ensure learners with support in place have valid evidence of need on file.

- Work with lecturing staff to ensure requirements for support staff are met.

RELATED POLICIES, PROCEDURES, DOCUMENTS, DEFINITIONS

- Exam Access Arrangements Policy
- Assessment and APL-RPL Procedure
- Academic Appeals Procedure
- Academic Misconduct Procedure
- Internal Verification Procedure
- External Verification and Examination Procedure
- JCQ *General Regulations for Approved Centres*
  https://www.jcq.org.uk/exams-office/non-examination-assessments

RISK MANAGEMENT PROCESS

EXAMPLE RISKS AND ISSUES	POSSIBLE REMEDIAL ACTION		STAFF
	FORWARD PLANNING	ACTION	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Plan dates in consultation with main college calendar as well as the Exams Office key dates calendar – negotiate with other parties	CAMs
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates sometime between assessments	CAMs/Course Managers
Accommodation			
Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment	Use more than one classroom or multiple sittings where necessary – book via Registry or Facilities as necessary	CAMs/Course Managers
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/centre facilities		CAMs/Course Managers
Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases		Course Manager
Lecturing staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure lecturing staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time	Course Manager/ Exams Manager
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Course Manager/Lecturing staff
Candidates have a scheduling clash for exams or assessment	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date where necessary and consult awarding body procedures for dealing with timetabling clashes	Course Manager/Exams Manager

EXAMPLE RISKS AND ISSUES	POSSIBLE REMEDIAL ACTION		STAFF
	FORWARD PLANNING	ACTION	
Control levels for task taking			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure lecturing staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	CAMs/Course Managers
Supervision			
Lecturing staff/assessors do not understand supervision of controlled assessment is their responsibility	Ensure lecturing staff/assessors understand nature of controlled assessments and their role in supervision		CAMs/Directors
Suitable supervisor has not been arranged for an assessment	A suitable supervisor must be arranged for any controlled assessment within the curriculum area		CAMs/Course Managers
Task setting			
Lecturing staff/assessors fail to correctly set tasks	Ensure lecturing staff/assessors understand the task setting arrangements as defined in the awarding body specification*	Seek guidance from the awarding body	CAMs/Directors
Assessments have not been moderated as required in the awarding body specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	CAMs/Directors
Security of materials			
Assessment tasks not kept secure before assessment	Ensure lecturing staff understand importance of task security	Request/obtain different assessment tasks	CAMs/Course Managers
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements	Take materials to secure storage	CAMs/Course Managers
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	CAMs/Course Managers

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

EXAMPLE RISKS AND ISSUES	POSSIBLE REMEDIAL ACTION		STAFF
	FORWARD PLANNING	ACTION	
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines/penalties for not meeting them	Mark what candidates have produced by deadline and seek guidance from awarding body on further action	Lecturing staff/Course Managers
Deadlines for marking and/or paperwork not met by lecturing staff/assessors	Ensure lecturing staff are given clear internal deadlines to complete marking etc so Exams Office can process and send off marks ahead of external deadlines	Seek guidance from awarding body	CAMs/Course Managers
Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed	Lecturing staff
Lecturers fail to complete authentication forms or leave before completing authentication	Ensure lecturing staff understand importance of authentication forms and the requirement of a signature	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season	Lecturing Staff CAMs Course Managers
Marking			
Lecturers interpret marking descriptions incorrectly	Ensure appropriate training and practising of marking. Plan for sampling of marking during the practice phase	Arrange for remarking. Consult awarding body specification for appropriate procedure	CAMs/Directors/Head of Quality Assurance
Centre does not run standardisation activity as required by the awarding body	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted	Check with the awarding body whether a later standardisation event can be arranged	CAMs/Directors

Policy Review					
Author/Owner	Position	Approved by SMT		Approval date	Review date
Derrick Goddard	Head of Quality Assurance, Teaching, Learning & Assessment	Signed:		20.03.19	2 years

Document Control – Revision History (Policies only)

Author/Owner	Summary of Changes	Date	Date last reviewed by SED	Recommend to SED Y/N
Derrick Goddard	Minor changes including Policy ownership		27.03.17	N

Initial Equality Impact Screening

Have you consulted on this policy? Yes
Details: via members of COG

What evidence has been used for this assessment? Reference to the Joint Council for Qualifications' regulations for approved centres

Could a particular group be affected differently in either a negative or positive way? Indicate Y where applicable

Group	Negative impact	Positive impact	Evidence
Age Disability Gender (incl. Transgender) Race (incl. Gypsy &Traveller) Religion or belief Sex Sexual orientation Marriage & civil partnership Pregnancy & maternity Other groups (see guidance)			

Please give details:

If any negative impacts are identified, are there any related polices, services, strategies, procedures or functions that need to be assessed alongside this screening? If yes, please detail below:

Should the policy proceed to a full Equality Impact Assessment? No
If no, please give reasons: no negative impacts identified

Declaration
We are satisfied that an initial screening has been carried out on this policy and a full Equality Impact Assessment is not required.

We understand that the Equality Impact Assessment is required by the College and that we take responsibility for the completion and quality of this assessment

Completed by Author: Elaine Monks   Position: Exams Manager   Date: 31.01.17

Reviewed by Safeguarding, Equality & Diversity Group: Date: 22.02.17 & 27.03.17

Comments from Safeguarding, Equality & Diversity Group Review:

Policy to include reference to additional time to meet E&D requirements, normal methods of work or effects of religious practices.