



Controlled Assessment & Non-Examination Assessments Policy

Centre Number: 53628

This procedure is reviewed annually to ensure compliance with current regulations

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Key staff involved in the Controlled Assessment & Non-Examination Assessments Policy

Role	Name(s)
Head of centre	Joanna Ware
SLT members	Matthew Bisco & Anna Norman
Exams officer	Joanna Starr

Context of Policy

Non-examination Assessment

The regulator's definition of an examination is very narrow and in effect any type of assessment that is not 'externally set and taken by candidates at the same time under controlled conditions' is classified as non-examination assessment (NEA). 'NEA' therefore includes, but is not limited to, internal assessment.

Externally marked and/or externally set practical examinations taken at different times across the centre are classified as 'NEA'. It applies to all GCE and GCSE specifications with one or more non-examination assessment components, as defined within the awarding body's specification and which contribute to the main qualification grade.

The principles for non-examination assessment as determined by the qualification regulators are:

- non-examination assessment should only be used where it is the only valid means of assessing essential knowledge and skills;
- non-examination assessment must strike a balance between valid assessment of essential knowledge and skills, sound assessment practice and manageability;
- any non-examination assessment should be designed to fit the requirements of the particular subject including the relative weighting of written examinations.

Controlled Assessment

From September 2009, Controlled Assessment replaced coursework for some GCSEs. This is one of the changes in the Government's reform of education for 14-19 year olds, designed to ensure that specification content meets the aims of the revised secondary curriculum.

Key features:

- Enables a more integrated approach to teaching and learning and assessment
- Provides an increased facility to ensure that work is the students own
- Enables teachers to choose the timing of the controlled assessment
- Enables teachers to select from a choice of tasks and contextualised them
- Is viewed as part 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

Process of Non-Examination Assessment and Controlled Assessment

The process has 3 stages;

1. Task Setting
2. Task Taking
3. Task Marking

Non-Examination Assessment

Task Setting

Tasks are set either by the awarding body or the Centre. When provided by the awarding body the Centre makes their selection(s) from a number of comparable tasks provided. Where the Centre is responsible for task setting they must select from a number of comparable tasks provided by the awarding body or design their own task(s) in conjunction with candidates where permitted using criteria set out in the specification. When the Centre is responsible for task setting they must ensure that the assessment criteria, as detailed in the specification, can be met and tasks are accessible to candidates. Centres must refer to the awarding body's specification.

Candidates should be aware of the criteria used to assess their work. They can then understand what they need to do to gain credit. Specifications describe the marking criteria in detail. Teachers are able to produce a simplified candidate-friendly version provided that it is not specific to the work of an individual candidate or group of candidates.

The Centre must consult the relevant awarding body's specification to obtain the date for the issuing of tasks. Teachers must take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications.

The Centre must make arrangements for candidates to undertake the correct task. Awarding bodies will do all they can to protect candidates' interests but in some cases it may not be possible to accept work based on the wrong task. Great care should be taken to ensure that the correct task is issued to candidates.

Task Taking

Candidates do not need to be directly supervised at all times. The use of resources, including the internet, is not tightly prescribed. The centre must check the subject-specific requirements issued by the awarding body.

The centre must ensure that:

- there is sufficient supervision of every candidate to enable work to be authenticated;
- the work that an individual candidate submits for assessment is his/her own.

Work may be completed outside of the centre without direct supervision, provided that the centre is confident that the work produced is the candidate's own.

Candidates may normally:

- have unlimited access to electronic and printed resources;
- use the internet without restriction;
- work in groups.

Where candidates work in groups, the teacher should keep a record of each candidate's contribution.

Centres must ensure that candidates understand what they need to do to comply with the regulations for non-examination assessments.

Feedback and advice to candidates can be issued during the task-taking stage unless specifically prohibited by the awarding body's specification, the centre is allowed to:

- review candidates' work and provide oral and written advice at a general level;
- having provided advice at a general level, allow candidates to revise and re-draft work.

General advice of this nature does not need to be recorded or taken into account when the work is marked.

In many subjects candidates will need to gather information from published sources when researching and planning their tasks.

Candidates normally have unrestricted access to resources but the centre should always refer to the awarding body's specification and/or associated documentation.

Unless the specification says otherwise, candidates are free to collaborate when carrying out research and preparatory work. Where the specification permits, some assignments may be undertaken as part of a group. The specification may place a restriction on the maximum size of the group. It must be possible to attribute assessable outcomes to individual candidates.

Where an assignment requires written work to be produced, each candidate must write up his/her own account of the assignment. It is acceptable for all members of the group to record the same data, but each candidate must use his/her own words to describe how the data was obtained and draw his/her own conclusions. Where an artefact or a performance is required, candidates may collaborate, but their responses must be their own and their individual contributions must be clearly identified. The contribution of each individual candidate must be clear from both the work itself and the record forms.

Group work is permitted but group assessment is not. Members of the group will have made different contributions and the work of each candidate must be individually assessed. The centre is responsible for monitoring group work and ensuring that each candidate's contribution can be separately assessed.

Candidates must sign a declaration to confirm that the work they submit for final assessment is their own unaided work.

Teachers must sign a declaration of authentication after the work has been completed confirming that:

- the work is solely that of the candidate concerned;
- the work was completed under the required conditions;
- signed candidate declarations are kept on file.

Secure storage, throughout the task-taking stage, is only required for work produced under formal supervision. Once any work is handed in by the candidate for formal assessment (or the formal supervised session commences for Art & Design) it must be stored securely.

Task Marking

Teachers are responsible for marking work in accordance with the marking criteria detailed in the relevant specification and associated subject-specific documents.

Teacher annotation should be used to provide evidence to indicate how and why marks have been awarded to facilitate the standardisation of marking within the centre, and to enable the moderator to check that marking is in line with the assessment criteria.

Teachers should indicate on candidates' work, or on the cover sheet, the date when the work was marked. It is important that all teachers involved in the assessment of a component mark to common standards. Centres must ensure that the internal

standardisation of marks across assessors and teaching groups takes place. Awarding bodies will then externally moderate the work.

Controlled Assessment

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.

Task Taking

Three levels of control apply:

1. Low control – students can work unsupervised outside the classroom. This is normally the research stage
2. Medium control – students can work under informal supervision. This is normally the analysis stage
3. High Control: Students complete their task under direct supervision throughout. This is the write up stage.

Task Marking

Task Marking has either a High or Medium Control level. High control means that the awarding body marks the tasks. Medium control is where work is assessed by the teacher and externally moderated by the awarding body in the same way as coursework.

Roles and Responsibilities

The Deputy Head Curriculum/Exams Officer will – To confirm this role:

- Ensure, on behalf of the Headteacher, that each department carries out Non-examination assessments and controlled assessment in accordance with the instructions issued by the Joint Council for Qualifications (JCQ);
- Co-ordinate, with Heads of Department, a schedule for Non-examination assessments and controlled assessment to take place;
- 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 academy etc);
- Ensure all staff, students and parents have access to a calendar of events via the VLE.

Heads of Department will ensure:

- The safe and secure conduct of Non-examination assessments and controlled assessment in their area and comply with JCQ guidelines and awarding bodies' subject-specific instructions;
- Exam entries and assessment marks are submitted to the Exams Officer at the correct time;
- Absences are reported to the Exams Officer so that medical evidence can be sought;
- All marking is standardised;
- All teachers in each department understand their responsibilities with regard to NEA and controlled assessment and are familiar with the contents of the JCQ publications "Instructions for conduction non-examination assessments" and "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;
- There is a clear policy in the department handbook on the carrying out of non-examination assessments and controlled assessment and appropriate staff training takes place on an annual basis;
- All confidential materials, together with the work produced by the students, 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 (SENCO) is informed about any assistance required for the administration and management of access arrangements;

- In the case of formal supervision during controlled assessments (high level of control) students do not have access to email, the internet, *mobile phones* or any other electronic devices;
- Where videos or photographs/images of the students are to be included as part of the controlled assessment consent has been granted by parents/carers/guardians;
- A log is kept which contains:
 - 1) The date and time of each assessment together with its title;
 - 2) The name of the supervising teacher;
 - 3) A list of students who were present during the assessment;
 - 4) A list of any absent students;
 - 5) A log of any incidents which occurred during the assessment is kept for each controlled assessment.

Teaching staff must:

- Comply with the general guidelines contained in the JCQ publications "Instructions for conducting non-examination assessments" and "Instructions for conducting controlled assessments";
- Understand and comply with the awarding body specification for conducting non-examination assessments" and 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 students, are stored securely at all times. Secure storage is defined as a secure locked steel cabinet, a metal cabinet or similar;
- Remove or cover up any relevant display material;
- 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;
- Ensure work is either handwritten in black ink or word processed, if permitted by the specification. Printouts, charts, videos can be included where appropriate;
- Allow any students who were absent during the assessment to take this at another time. For long absences special consideration should be applied for if appropriate;
- 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 at the date required, keeping a record of the marks awarded;
- Carefully check the marks submitted to an awarding body and ask another member of staff to double check and confirm the accuracy of marks entered;

- Carefully check that the requested samples of work to be reviewed by the awarding body are the correct samples and ask another member of staff to double check and confirm this has been done correctly;
- Retain students' work securely between assessment sessions (if more than one) If work is saved on memory sticks these must be collected in after each session and locked away;
- Retain students' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain students work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Inform the Head of Subject and the Exams Officer if there is suspected malpractice;

Special Educational Needs Co-ordinator will:

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

The Exams Officer will:

- Enter students for individual units and cash-in codes, whether assessed by non-examination assessment, controlled assessment, external exam or on-screen test, before the deadline for final entries;
- Take responsibility for receipt, safe storage and safe transmission, whether in CD, digital or hard copy format;
- Give teachers access to non-examination assessment or controlled assessment material via the awarding body secure websites where appropriate;
- 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 non-examination assessments or controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out, at the direction of the **Deputy Head Curriculum**;

Good Practice

- At the start of a formal sessions of controlled assessment students will be reminded to turn their mobile phone off and disable any 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. Each student will be emailed a copy of this notice at the start of the academic year.

Student Malpractice

The Headteacher 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 student 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 student has signed the declaration of authentication, the Headteacher 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, students and any others involved.

Teacher Malpractice

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

Monitoring and evaluation

This policy will be reviewed on behalf of the Governing Body by the Governors' Curriculum Committee on an annual basis.

Appeals against Internal Assessment / Controlled Assessment

Millbay Academy is committed to ensuring that whenever staff assess students' work for external qualification, this is done fairly, consistently and in accordance with the specification for the qualification concerned.

Assessments should be conducted by staff who have appropriate knowledge, understanding and skills, and who have been trained in this activity. Students' work should be produced and authenticated according to the requirements of the examinations board. Where a set of work is divided between staff, consistency should be assured by internal moderation and standardisation.

If a student feels that this may not have happened in relation to his / her work, he / she may make use of this appeals procedure.

Appeals may only be made against the process that led to the assessment and not against the mark or grade.

- Appeals should be made by the last Friday in May
- Appeals should be made in writing to the Headteacher, who will investigate the appeal.
- The Headteacher or another member of the senior staff will decide whether the process used for the internal assessment / controlled assessment conformed to the requirements of the awarding body and the examinations code of practice of the JCQ. This will be done before the end of the series. (The end of June for the summer series).
- The appellant will be informed in writing of the outcome of the appeal, including any correspondence with the board, any changes made to the assessment of the work, and any changes made to improve matters in future.
- The outcome of the appeal will be made known to the Governing Body, and will be logged as a complaint under the complaints procedure. A written record of the appeal will be kept and made available to the awarding body at their request. Should the appeal bring any significant irregularity to light, the awarding body will be informed.
- After work has been assessed internally it is moderated by the awarding body to ensure consistency between centres. Such moderation frequently changes the marks awarded for internally assessed work. That is outside the control of Millbay Academy and is not covered by this procedure. If a student has concerns about this, they should ask the Examinations Officer about the appeals procedure of the relevant awarding body.