



**LEE Hurst Swan**  
**CONTROLLED ASSESSMENT, COURSEWORK AND**  
**NON-EXAMINATION ASSESSMENT POLICY**  
Reviewed by the Examinations Officer October 2016

**Objective**

The aim of this policy is to clearly set how controlled assessments, coursework and non-examination assessments will be carried out.

All pupils in Year 11 sit GCSE subjects at Leehurst Swan with the exception of English and Design Technology where pupils sit iGCSE examinations. Most of these subjects have some element of Controlled Assessment or Coursework, except for Mathematics and Religious Studies which have no controlled assessment with results based purely on the final examination papers.

Pupils in Year 10 take IGCSE's in most subjects with coursework. The exception to this is the Sciences and Drama where pupils take GCSE's including non-examination assessments.

**Controlled Assessment – Section A**

Controlled Assessments have three levels of control; low, medium and high. Teaching staff are responsible for ensuring that the work set is carried out at the appropriate level of supervision. Some low control work may be set as homework but other work must be carried out in the classroom with high control in exam conditions.

**Non-Examination Assessment – Section B**

Non-examination assessment is a form of internal assessment for reformed GCSE qualifications where it is the only valid means of assessing essential knowledge and skills that cannot be tested by timed written papers.

**IGCSE Coursework**

**English**

Whilst English and English Literature Coursework assignments are not controlled assessments there are clear guidelines from the IGCSE board as to how to conduct coursework. Pupils will create the first draft of English and English Literature coursework in class. Pupils are able to use a dictionary, thesaurus and word processor in the preparation of their coursework. Teachers will keep a copy of the first draft on file and will give pupils feedback on this. Pupils are encouraged to revise, edit and correct their work. Teachers will give verbal advice and discuss with pupils how to improve their work. Teachers will highlight errors but not tell pupils how to correct the error. For example sp (spelling) can be put in the margin but the pupil will have to look up the correct spelling. Any revisions that pupils make to the coursework must be their own work. The second draft or final draft may be set as homework but these drafts will be checked by teachers against the original draft written in class to ensure authenticity.

**IGCSE Coursework**

**Other subjects**

Coursework sessions may be undertaken in class and also set as homework. It is important that any work completed is that of the individual pupil. If any other source or reference is used it must be referenced appropriately.



## Section A – Controlled Assessment

### Outlining staff responsibilities - GCSE controlled assessment

#### The Examinations Officer should:

- At the end of the previous academic year, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of key stage 4).
- 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 school etc.)
- Ensure that all staff involved have a calendar of events
- Create, publish and update an internal appeals policy for controlled assessments.
- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- 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, and collect and send marksheets to awarding bodies before deadlines.
- On the few occasions where controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out, at the direction of the Head of Teaching and Learning.

#### Heads of department should:

- 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 understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.



## Section A – Controlled Assessment

Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

### Teaching staff should

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body 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 students as the specification allows.
- 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 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.
- Ask the appropriate special educational needs coordinator (SENCO) for any assistance required for the administration and management of access arrangements.

### The special educational needs coordinator should

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



## Controlled Assessment – Risk Assessment

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
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 school calendar – negotiate with other parties	EO
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 some time between assessments	EO/SMT
<b>Accommodation</b>			
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	HOD/Cover
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		HOD/EO/Cover
<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	Teacher/HOD
Teaching staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time	Teacher/HOD/EO
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Teacher/HOD



## Controlled Assessment – Risk Assessment

Example risks and issues	Possible remedial action		Staff
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Teacher/HOD
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	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  N.B. retakes of controlled assessment are limited	HOD's/EO
<b>Control levels for task taking</b>			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	HOD
<b>Supervision</b>			
Student study diary/plan not provided or completed*	Ensure teaching staff/assessors 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	Teacher/HOD
Teaching staff/assessors do not understand supervision of controlled assessment is their responsibility	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision		SLT
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are <b>not</b> supervising	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.		Teacher/HOD/Cover

\* Not all controlled assessment whether for the Diploma or GCSEs will require the completion of a study diary or study plans



## Controlled Assessment – Risk Assessment

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Task setting</b>			
Teaching staff/assessors fail to correctly set tasks	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification**	Seek guidance from the awarding body	Teacher/HOD
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	HOD
<b>Security of materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Teacher/HOD
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary	Take materials to secure storage	Teacher
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Teacher/HOD

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



## Controlled Assessment – Risk Assessment

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Deadlines</b>			
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.	Teacher
Deadlines for marking and/or paperwork not met by teaching staff/ assessors	Ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so the exams office can process and send off marks ahead of AB deadlines	Seek guidance from awarding body	HOD's
<b>Authentication</b>			
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	Teacher
Teaching staff/assessors fail to complete authentication forms or leave before completing authentication	Ensure teaching staff/assessors 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	HOD's
<b>Marking</b>			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding body specification for appropriate procedure	Teacher/HOD's
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.	HOD's



## Section B - Non-Examination Assessment

Non-examination assessment applies control over internal assessment at three points; task setting, task taking and task marking.

### Responsibilities

#### Head of Centre:

- To be familiar with Joint Council for Qualifications (JCQ) instructions for conducting non-examination assessment.
- Responsible to relevant GCSE awarding bodies to ensure that all non-examination assessments are conducted according to qualification specifications.

#### Examinations Officer:

- To be familiar with JCQ instructions for conducting non-examination assessment and other related JCQ documents.
- To be familiar with general instructions relating to non-examination assessment from each relevant GCSE awarding body.
- In collaboration with Heads of Department, to submit non-examination assessment marks to the relevant awarding body.
- In collaboration with Heads of Department, dispatch pupils' assessments for moderation.
- In collaboration with Heads of Department, make appropriate arrangements for the security of non-examination assessment materials

#### Head of Department:

- To be familiar with JCQ instructions for conducting non-examination assessment
- To understand and comply with specific instructions relating to non-examination assessment for the relevant GCSE awarding body.
- Ensure that individual teachers understand their responsibilities with regard to non-examination assessment.
- Ensure that they use the correct task for the year of submission and take care to distinguish between tasks and requirements for legacy and new specifications.
- To 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.;
- To undertake appropriate departmental standardisation of non-examination assessments
- In collaboration with the Examinations Officer, to submit non-examination assessment marks to the relevant awarding body.
- In collaboration with the Examinations Officer dispatch pupils' assessments for moderation.
- In collaboration with the Examinations Officer, make appropriate arrangements for the security of non-examination assessment materials

#### SENCO:

- To be familiar with JCQ instructions for conducting non-examination assessment with reference to special access arrangements
- In collaboration with the Examinations Officer Co-ordinate requests for special access Arrangements

#### Subject Teachers:

- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to pupils as the specifications allow.
- Ensure that students and supervising teacher(s) sign authentication forms on completion of an assessment.



## Section B - Non-Examination Assessment

- Mark internally assessed components using the mark schemes provided by the awarding body. Via the Head of Department, submit marks to the Examinations Officer or to the awarding body when required, keeping a record of the marks awarded. (Where assessments are marked internally teachers may disclose marks to candidates provided that it is made clear that the moderation process may result in changes to marks. They should NOT attempt to convert marks to grades in advance of the publication of results.)
- Take part in appropriate departmental standardisation of Non-Examination Assessments
- 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 special educational needs coordinator (SENCO) and the Examinations Officer for any assistance required for the administration and management of access arrangements.

### Task Setting

In accordance with specific GCSE awarding body guidelines, Heads of Department will be responsible for the selection of non-examination assessment tasks from an approved list or for setting appropriate centre specific tasks.

Subject Teachers will ensure that students understand the assessment criteria for any given assessment task.

### Task Taking

Unless the awarding body's specification says otherwise, the following arrangements will apply.

- In accordance with JCQ regulations, invigilators and JCQ No Mobile Phone & Warning to Candidates posters are not required.
- Teachers will ensure there is sufficient supervision (in accordance with awarding body requirements) to ensure that work can be authenticated as the candidate's own work. They will also ensure that they keep a record of each candidate's contribution in group work, where applicable. Teachers will also ensure candidates understand the need to reference work, give guidance on how to do this and make sure they are aware that they must not plagiarise other material.
- Teachers can provide candidates with general feedback and allow candidates to revise and redraft work but must not provide model answers or writing frames specific to the task nor assess the work and then allow the candidate to revise it. Any assistance given must be recorded and taken into account when marking the work. Explicitly prohibited assistance must not be given and no assistance should be given if there is no means to record it and take account of it in the marking. Failure to follow this procedure constitutes malpractice.
- Teachers must be aware of the awarding body's restrictions with regard to access to resources.
- In formally supervised sessions candidates can only usually take in preparatory notes, they must not access the internet nor bring in their own computers or electronic devices. They must not introduce new resources between formally supervised sessions. Materials must be collected and stored securely at the end of each session and not be accessible to candidates.
- Authentication: Candidates and teachers must sign the appropriate authentication declarations and these must be kept on file until the deadline for enquiry about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.



## Section B - Non-Examination Assessment

### Task Marking

- Teachers are responsible for marking work in accordance with the marking criteria. 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.
- The centre may disclose marks to candidates provided that it is made clear that the moderation process may result in changes to marks. Centres should not attempt to convert marks to grades in advance of the publication of results.
- Centres must ensure that the internal standardisation of marks across assessors and teaching groups takes place. They should retain evidence of internal standardisation and keep candidates' work in secure storage until after the closing date for enquiries about results.

### Factors affecting individual candidates

- If a candidate misses part of a non-examination assessment task through absence, an alternative supervised session will be organised.
- The school will follow the procedures set out in JCQ guidelines if assessment tasks are lost or accidentally destroyed at the school.
- Access Arrangements will be agreed according to the published JCQ guidance on Access Arrangements.
- The school will consider requests to repeat non-examination assessment tasks if they are made before marks have been submitted to the relevant awarding body. Decisions will be made on an individual basis, by SLT in consultation with the Head of Department. If a non-examination assessment task was completed under formal supervision, a completely new task must be set.

The policy is subject to annual review by the Examinations Officer – last reviewed October 2016