

CONTROLLED AND NON- EXAMINATION ASSESSMENT POLICY

For staff and students

Author:	Vice PrincipalTLA, Curriculum & Quality
Approved by:	SMT
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1 Introduction and Purpose

- 1.1 This document sets out the responsibilities and process for running controlled / non-examination assessments within UCS College Group.
- 1.2 The purpose of the policy is to ensure that all controlled / non-examination assessments are run in accordance with Awarding Organisation procedures (if applicable) and that all controlled / non-examination assessment materials are kept in a secure and safe location.

2 Policy Statement

- 2.1 The effective running of controlled / non-examination assessments is essential to the success of the College Group. This policy contributes to the promotion of the high levels of professionalism expected at the College Group. College Group staff have specific roles and responsibilities which are set out within each procedure to ensure this happens.

3 Scope

- 3.1 The policy is relevant to all College Group staff involved in the management, organisation and running of controlled / non-examination assessments.

- 3.2 **What are controlled / non-examination assessments?**

Controlled / non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers.

There are three assessment stages and rules which apply to each stage. These rules often vary across subjects. The stages are:

- Task setting
- Task taking
- Task marking.

4 Procedure and Responsibilities

4.1 Head of Department

Role – To have an overview of the controlled / non-examination assessment timetable and to be the link with other staff in this procedure.

- Using proposed timetables from teaching staff to map overall resource management requirements for the academic year. As part of this resolve:
 - Clashes / problems over the timing or operation of controlled / non-examination assessments
 - Issues arising from the need for particular facilities (e.g. rooms, IT networks, time out of college etc)
 - Ensure that all staff and students involved have a calendar of events
- Notify relevant staff / students of any amendments or updates to the Controlled / Non-Examination Assessments Policy and / or the practical delivery of controlled / non-examination assessments.

4.2 Examinations Manager

- 4.2.1 Enter students for individual controlled / non-examination assessments and external exams before the deadline for final entries
- 4.2.2 Enter students' 'cash-in' codes for the last exam series
- 4.2.3 Ensure all confidential materials, including exam papers are kept in safe and secure storage
- 4.2.4 Confidential materials are recorded and managed in accordance with the JCQ rules
- 4.2.5 Notify the Deputy Heads of Department , Exams Office and relevant Course Leaders of any amendments or updates to the delivery of controlled / non-examination assessments
- 4.2.6 Pass on any updates relating to controlled / non-examination assessments from Examination Boards or JCQ to Head of Department, Deputy Heads of Department and Course Leaders as appropriate
- 4.2.7 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.
- 4.2.8 Ensure the planned date of the controlled assessment meets any dates which have been dictated by the awarding body.

4.3 Deputy Head of Department

- 4.3.1 Contact Exams Manager for relevant requirements / regulations
- 4.3.2 Oversee the production of a timetable of when HIGH level assessment will take place and ensure this is given to the relevant teaching staff before the end of the preceding academic year
- 4.3.3 Ensure the timetable of controlled assessment falls within the Awarding Organisation dates
- 4.3.4 Agree with the Course Leader on the Awarding Organisation and specification for a particular programme of study
- 4.3.5 Be accountable for the safe and secure conduct of controlled / non-examination assessments
- 4.3.6 Standardise internally the marking of all teachers involved in assessing an internally assessed component.

4.4 Course Leader

- 4.4.1 Liaise with teachers to schedule controlled / non-examination assessments for the following academic year
- 4.4.2 Send correctly completed mark sheets to Awarding Organisations before deadlines
- 4.4.3 Ensure that individual teachers understand their responsibilities with regards to controlled / non-examination assessments
- 4.4.4 Ensure that individual teachers understand the requirements of the Awarding Organisation's specification and procedure for conducting controlled / non-examination assessments and are familiar with the relevant teachers' notes, and any other subject specific instructions
- 4.4.5 Where appropriate, develop new assessment tasks or contextualise sample Awarding Organisation assessment tasks to meet local circumstances, in line with Awarding Organisation specifications and control requirements, and use the Awarding Organisation checking service if applicable
- 4.4.6 Notify the Examinations Office of any changes to the delivery or pattern of controlled / non-examination assessments within the subject area
- 4.4.7 Supply the Exams Manager with details of all unit codes for controlled / non-examination assessments
- 4.4.8 Download and distribute mark sheets for teaching staff to use, and return promptly to Examinations Office

- 4.4.9 Retain students' work securely between assessment sessions (if more than one)
- 4.4.10 Ask the appropriate Additional Learning Support personnel, for any assistance required for the administration and management of access arrangements
- 4.4.11 Produce a detailed timetable of all assessment and highlight any controlled assessment. All dates must fall within the Awarding Organisation required dates.

4.5 All Curriculum Staff

- 4.5.1 Understand and comply with the general guidelines contained in the JCQ publication Instructions for Conducting Controlled / Non-examination Assessments, which can be found on the JCQ website, and Awarding Organisation regulations
- 4.5.2 Understand and comply with the Awarding Organisation specification for conducting controlled / non-examination assessments, including any subject-specific instructions, teachers' notes or additional information on the Awarding Organisation's website
- 4.5.3 Supervise assessments (at the specified level of control)
- 4.5.4 Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows
- 4.5.5 Ensure that students and supervising teachers sign authentication forms on completion of an assessment
- 4.5.6 Mark internally assessed components using the mark schemes provided by the Awarding Organisation
- 4.5.7 Inform students of their centre assessed marks, where permitted, so that they may request a review of the marking before marks are submitted to Awarding Organisations
- 4.5.8 Submit marks through the Examinations Office to the Awarding Organisation when required, keeping a record of the marks awarded
- 4.5.9 Adopt and maintain the usual ways of working for the individual student. Ask the appropriate Additional Learning Support personnel, for any assistance required for the administration and management of access arrangements where appropriate.

5 Review of Policy

- 5.1 This policy has been informed by external expectations and to maintain the College Group reputation.

The policy will be reviewed annually to ensure it meets requirements.

Appendix 1 Risk Management for Controlled / Non Examination Assessments

Potential 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 College Group / individual college calendars – negotiate with other parties	Curriculum Area Management Team (AMT)
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 students some time between assessments	Curriculum AMTs
Accommodation			
Insufficient space in classrooms for students	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled / non-examination assessments	Use more than one classroom or multiple sittings where necessary	Curriculum AMTs
Insufficient facilities for all students	Careful planning ahead and booking of rooms / centre facilities	In consultation with Senior Management Team where appropriate, look to secure the required resources or facilities	Curriculum AMTs
Downloading Awarding Organisation 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	Exams Manager / Head of Digital Transformation

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 Organisation secure extranet sites ahead of time	Exams Manager / Head of Digital Transformation
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to Awarding Organisation for replacement; download again	Exams Manager / Head Digital Transformation
Absent students			
Students absent for all or part of assessment (various reasons)	Plan alternative session(s) for students	Refer to the Awarding Organisation regulations and guidelines to ensure compliance	Curriculum AMTs
Students have a scheduling clash for exams or assessments (possibly off-site on consortium teaching)	Always consider student 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 with Awarding Organisation procedures for dealing with timetabling clashes Please note: retakes of controlled / non-examination assessments are limited	Curriculum AMTs
Control levels for task taking			
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	Report to the Exams Manager on the same day, who will seek advice from the Awarding Organisation	Curriculum AMTs / Subject Teachers

Supervision			
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 the course	Ensure students start, continue and complete study diaries / plans that are signed after every session	Curriculum AMTs / Subject Teachers
Teaching staff / assessors do not understand supervision of controlled / non-examination assessments is their responsibility	Ensure teaching staff / assessors understand the nature of controlled / non-examination assessments and their role in supervision	Provide training and appropriate support for staff where required	Curriculum AMTs / Subject Teachers
Suitable supervisor has not been arranged for an assessment where teaching staff / assessors are not supervising	A suitable supervisor must be arranged for any controlled / non-examination assessments where a teacher / assessor is not supervising, in line with the Awarding Organisation specification	Curriculum Manager or Area Principal to request support from other departments if support is not available within the curriculum department	Curriculum AMTs / Subject Teachers
Task setting			
Teaching staff / assessors fail to correctly set tasks	Ensure teaching staff / assessors understand the task setting arrangements as defined in the Awarding Organisation specification	Seek guidance from the Exams Manager and the Awarding Organisation and inform quality@ucscollegegroup.ac.uk	Curriculum AMTs
Assessments have not been moderated as required in the Awarding Organisation specification	Check specification and plan required moderation appropriately	Seek guidance from the Awarding Organisation and inform quality@ucscollegegroup.ac.uk	Curriculum AMTs
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request / obtain alternative assessment tasks	Exams Manager / Curriculum AMTs

Students' work not kept secure during or after assessment	Define appropriate level of security, in line with Awarding Organisation requirements, for each department as necessary	Take materials to secure storage and inform the Exams Manager	Curriculum AMTs / Exams Manager
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative suitable secure storage space	Curriculum AMTs / Exams Manager
Deadlines			
Deadlines not met by students	Ensure all students are briefed on deadlines and penalties for not meeting them	Mark what students have produced by the deadline and seek guidance from the Awarding Organisation on further action	Curriculum AMTs
Deadlines for marking and / or paperwork not met by teaching staff / assessors	Ensure teaching staff / assessors are given clear deadlines (prior to Awarding Organisation deadline) to complete marking / paperwork so the Examinations Office can process and send off marks ahead of Awarding Organisation deadlines	Seek guidance from Awarding Organisation and inform quality@ucscollegegroup.ac.uk	Curriculum AMTs
Authentication			
Student fails to sign authentication form	Ensure all students have authentication forms to sign and attach to work when it is completed before handing in	Find student and ensure form is signed	Curriculum AMTs / Subject Teachers
Teaching staff / assessors fail to complete authentication forms or leave before completing authentication	Ensure teaching staff / assessors understand the 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 the end of season	Curriculum AMTs / Subject Teachers

Marking			
Teaching staff / assessors interpret marking descriptions incorrectly	Ensure appropriate training, marking practice and standardisation takes place prior to the event. Plan for sampling of marking during the practice phase	Arrange for remarking. Consult Awarding Organisation specification for appropriate procedure and inform quality@ucscollegegroup.ac.uk	Subject Teachers
Centre does not run standardisation activity as required by the Awarding Organisation	Plan against the requirements for standardisation for the Awarding Organisation and when and how this activity will be conducted	Check with the Awarding Organisation whether a later standardisation event can be arranged and inform quality@ucscollegegroup.ac.uk	Curriculum AMTs