



## **HAYDON SCHOOL**

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# **CONTROLLED ASSESSMENT POLICY 2016**

## **INTRODUCTION**

## 1. What is Controlled Assessment?

- 1.1 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.
- 1.2 Controlled assessment measures subject specific skills that may not necessarily be tested by external assessment.
- 1.3 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 department under supervision with controlled access to resources, or
  - Outside the department and involve research with limited supervision

## 2. Candidates' Work For Assessment

- 2.1 **Candidates' work for assessment must be stored securely within the centre.** Work may be stored either by subject departments or the exams office. **Secure storage is defined as a secure locked steel cabinet, a metal cabinet or similar cabinet.** Work produced over several sessions, including, if appropriate, record folders/diaries **must** be collected at the end of each session and stored securely. Work produced electronically **must** be saved securely to ensure that it cannot be amended between sessions. Where there is a practical need, secure storage may be defined as a classroom or cupboard which is locked from the end of one session to the start of the next. This alternative may be implemented on practical grounds given the nature of the assessment, the need to allow work to dry overnight, or the size or delicacy of some items of work.
- 2.2 Candidates' centre assessed marks must be submitted to the awarding body by the date required. Candidates' work for moderation purposes or external marking must be despatched as directed and work not required for moderation purposes must be stored securely until all possible post-results services have been exhausted. Unless stated otherwise, work may be returned to candidates after the deadline for enquiries about results for the relevant series has passed, or once an enquiry about results and any subsequent appeal has been exhausted.

## 3. Task Setting

- 3.1 Controlled assessment components within specifications assess candidates' skills, knowledge and understanding that may not readily be assessed by timed written papers. Controlled assessment tasks will take many different forms. Evidence of participation that may be appended to the candidate's final work may include printouts, copies of presentations, charts, photographs, letters, artefacts, videos, recordings or transcripts of interviews, CDs or DVDs. This diversity will be reflected in subject-specific requirements for aspects such as task-setting, the conditions in which work should be undertaken, the use of resources and whether the work is externally rather than internally assessed.
- 3.2 All tasks, whether set by an awarding body or set by the centre, **must** be developed in line with the requirements of the specification.

- 3.3 The department should ensure that candidates are clear about the assessment criteria which they are expected to meet in their controlled assessments. Specifications usually explain the criteria in detail, but candidates may require some further explanation or interpretation before they fully understand the nature of the skills which they are expected to demonstrate. Any explanation or interpretation given by teaching staff must be general and not specific to a candidate's work.
- 3.4 Letters must be sent home to parents from the Head of Faculty or Head of Department with information regarding the nature of the assessment prior to the controlled assessment. (Appendix 4).

## 4. Task Taking

### 4.1 Supervision

#### 4.1.1 Supervision can be:

- Formal (high level of control), or
- Informal (medium level of control), or
- Limited (low level of control)

as detailed in the specification.

Departments should risk assess the supervision and conditions for all CA before they take place and should then take advice from the exams office if they need support, for example rooming, ICT or external invigilation.

- 4.1.2 Under **formal supervision** the candidate **must** be under direct supervision at all times. The use of resources by the candidate and his/her interaction with others will be directed by the awarding body; **in particular access to e-mail, the internet and mobile phones must not be permitted.** Normally only research folders or diaries will be permitted. Candidates may be required, as an example, to produce an extended piece of work or submit their responses to a series of structured questions under controlled conditions.

Teachers must read the script in Appendix 3 at the start of each session requiring formal supervision. – need to update with current regulations.

Candidates **must** complete all work independently and must not communicate with each other. No assistance can be given to the candidates.

Class teachers are responsible for ensuring the conditions for formal supervision are adhered to.

**Candidates must not use a mobile phone or any other electronic communication device during a session which is subject to formal supervision.**

**It is not necessary for all candidates on a course to write up controlled assessments at the same time. Departments may schedule a number of assessment sessions to accommodate cohort size and availability.** However, the centre should record the date and time of the assessment, the name of the

teacher and keep a log of any incidents which occur during the course of the assessment. A register of candidates present and absent must be recorded.

4.1.3 Under **informal supervision**, the use of resources is not tightly prescribed and group work is normally permitted provided that any assessable outcomes can be attributed to individual candidates. Candidates **do not** need to be under direct supervision at all times. However, the department **must** ensure that:

- all candidates participate in the assessment
- plagiarism does not take place
- sources used by a candidate are clearly recorded
- each candidate's preparation for the final production of the work is his/her own
- students have received a copy of the following documents prior to starting the CA (Note these documents are revised every September, for an up-to-date copy please contact the exams office):
  - JCQ Information for Candidates
  - JCQ Information for Candidates – Privacy Notice
  - JCQ Information for Candidates – GCSE CA
  - JCQ Information for Candidates – Social Media

4.1.4 Under **limited supervision** the requirements are clearly specified by the awarding body and work may be completed without direct supervision. Research or data collection may take place outside of the classroom. Students have received a copy of the JCQ information for candidates and plagiarism documents prior to starting the CA

## 4.2 Resources

4.2.1 In many subjects candidates will need to use information from published sources when researching and planning their assignment(s). The use of the internet is permissible during the research and planning stages, but not when the final work is being word processed or written, unless stated otherwise within an awarding body' specification.

4.2.2 Specifications will set parameters for controlled assessments. These will define the parameters for any physical resources and information sources that are required such as a budget, access to the Internet, information provided by employers, a 'mock shop', simulated or 'live' clients or customers.

4.2.3 If candidates use the same wording as a published source they must place quotation marks around the passage and state where it came from. Candidates must give detailed references even where they paraphrase the original material. A reference from a printed book or journal should show the name of the author, the year of publication and the page number, preferably in a bibliography. For example: (Morrison, 2000, page 20). For material taken from the internet, any reference must show the precise web page, not the search engine used to locate it. This can be copied from the address line e.g.

<http://www.bbc.co.uk/schools/16/sosteacher/history/40766.shtml>

Candidates should be encouraged as a means of good practice to state the actual date when the material was downloaded.

(The Joint Council for Qualifications (JCQ) awarding bodies have written a document *Information for candidates* which details what candidates must and must not do when completing controlled assessments, see **Appendix 2**). Check this is up to date.

4.2.4 Where candidates are using electronic storage facilities, e.g. CDs, DVD, laptops, memory sticks, MP3 players, appropriate checks **must** be undertaken by the class teacher to ensure that only permitted material is introduced into the assessment environment.

### 4.3 Completing the Task

4.3.1 Teachers are required to ensure that when candidates are undertaking the tasks, the controls are complied with. Details of the applicable controls will be found in the awarding body's specification. Time and word limits should be adhered to, as prescribed in the awarding body's specification.

### 4.4 Collaboration

4.4.1 Where permitted by the specification, the work of individual candidates may be informed by working with others, for example in undertaking research, but candidates **must** provide an individual response as part of any task outcome. Where an assignment may be undertaken as part of a group, for example undertaking field research, each candidate **must** write up his/her own account of the assignment. Even if the data the candidates have is the same, the description of how the data was obtained and the conclusions drawn from it must be in each candidate's own words. Alternatively, where candidates are required to construct a product, candidates may collaborate in the construction of the product but their responses must be their own and their individual contribution clearly identified.

### 4.5 Feedback

4.5.1 Whilst feedback may be provided to candidates, teachers **must** ensure that the work submitted for final assessment is the candidate's own work. The nature of any guidance and the details of any feedback **must** be clearly recorded. The final work submitted must be solely that of the candidate.

4.5.2 Any advice to individual candidates over and above that given to the class as a whole should be recorded on documentation provided by the awarding body, e.g. the authentication form. (Appendix 1).

### 4.6 Presentation

4.6.1 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. The cover or folder must be marked clearly with the candidate's name and number, the number of the centre, the specification title or code and the component/unit title or code. Bulky covers of folders must not be included. **If an assignment is word processed, the candidate must ensure that his/her name, candidate number and centre number appears on each page as a header or footer.**

## 4.7 Authentication Procedures

- 4.7.1 The statutory regulations require all candidates to confirm that work they submit for assessment is their own. Each candidate is required to sign a declaration before submitting their work to their teacher/assessor for final assessment. This is to confirm that the work is their own and that any assistance given and/or sources used have been acknowledged. **Ensuring that candidates do so is the responsibility of the class teacher.** Teachers should record marks of zero if candidates cannot confirm the authenticity of work submitted for assessment.
- 4.7.2 It is also a requirement of the statutory regulations that teachers/assessors confirm to the awarding body that all of the work submitted for assessment was completed under the required conditions and that they are satisfied that the work is solely that of the individual candidate concerned. If they are unable to do so, the work should not be accepted for assessment. All teachers/assessors who have assessed the work of any candidate entered for each component must sign the declaration of authentication. Failure to sign the authentication statement may delay the processing of the candidate's results. **If, during the external moderation process, there is no evidence that the work has been properly authenticated, the awarding body will set the associated mark(s) to zero.**
- 4.7.3 The teacher should be sufficiently aware of the candidate's standard and level of work to appreciate if the work submitted is beyond the talents of the candidate.
- 4.7.4 If teachers have reservations about signing the authentication statements, the following points of guidance should be followed:
- if it is believed that a candidate has received additional assistance and this is acceptable within the guidelines for the relevant specification, the teacher/assessor should award a mark which represents the candidate's unaided achievement. The authentication statement should be signed and information given on the relevant form
  - if the teacher/assessor is unable to sign the authentication statement in respect of a particular candidate, then the candidate's work cannot be accepted for assessment. A mark of zero should be recorded on the mark sheet.
  - if malpractice is suspected, the examinations officer should be consulted about the procedure to be followed
- 4.7.5 The JCQ awarding bodies have produced a declaration of authentication for assessments which must be used. (Appendix 1). Check it's the most up to date.

## 5. Task Marking

## 5.1 Marking of Controlled Assessments

- 5.1.1 In marking work, teachers should pay close attention to the requirements of the specification. Teachers should note that it is their responsibility to award marks for work in accordance with the marking criteria specified in the awarding body's specification and subject-specific associated documents. Teachers must show clearly how the marks have been awarded in relation to these marking criteria. The marks must reflect the relative attainment of all the candidates.
- 5.1.2 Where a teacher teaches his/her own child, the centre must declare the conflict of interest and send the marked work to the moderator whether it is part of the sample or not.
- 5.1.3 Departments should consult the individual subject specification to ascertain if work can be marked off site. If work is taken off site then it must be subject to the same controls as in place in the school. Heads of Department should discuss this with the exams office.

## 5.2 Annotation

- 5.2.1 Any guidance given in the awarding body's specification on providing evidence to support the marks awarded must be followed.
- 5.2.2 Subject to any further guidance continued in specifications, one of the following approaches should be adopted:
- summary comments either on the work (usually at the end) or on a cover sheet
  - key pieces of evidence flagged throughout the work by annotation either in the margin or in the text
  - a combination of the above
- 5.2.3 Indications as to how marks have been awarded should:
- be clear and unambiguous
  - be appropriate to the nature and form of the work
  - facilitate the standardisation of marking within the centre
  - enable the moderator to check the application of the assessment criteria to the marking
- 5.2.4 Where appropriate to the type of work, the evidence to support the marks awarded should:
- indicate where the assessment criteria have been met, e.g. by writing key phrases from the criteria (such as 'awareness of values', 'selects information', 'uses a variety of techniques') at the appropriate point in the work
  - indicate any planning and processing not undertaken individually, and provide details of any assistance or prompting given to the candidate

5.2.5 Any work in which it is not clear how the marks have been awarded may be returned to the school by the moderator for further explanation. This will interrupt the moderation process and may result in a delay in the publication of the school's results for the specification concerned.

### 5.3 Internal Standardisation

5.3.1 Heads of department should use reference and archive materials (such as exemplar material provided by the awarding body) to help set the standard of marking within the centre.

5.3.2 Prior to marking, it is useful to undertake a trial marking exercise. Teachers mark the same relatively small sample of work to allow for the comparison of marking standards. The exercise can take place at appropriate stages during the course and has three beneficial effects: it helps to bring about greater comparability in the marking standards; it may identify at an early stage any teachers whose standards are out of line with that of their colleagues; and it alleviates a heavy marking load at the end of the course.

5.3.3 Where the work for a component has been marked by more than one teacher in a centre, standardisation of marking should normally be carried out according to one of the following procedures:

**Either** a sample of work which has been marked by each teacher is re-marked by the teacher who is in charge of internal standardisation

**Or** all the teachers responsible for marking a component exchange some marked work (at a meeting led by the Head of Department) and compare their marking standards

Where standards are found to be inconsistent, the relevant teacher(s) should make adjustments to their marks or re-consider the marks of all candidates for whom they were responsible. The new marks should be checked by the Head of Department.

5.3.4 Following completion of the marking and of internal standardisation, the work must be retained by the department and not returned to the candidates until the appeals window has closed

5.3.5 Heads of department should confirm with Awarding Bodies the length of time they should store tracking data. For example all BTEC courses need tracking data for three years to ensure an audit trail for certification.

5.3.6 Departments should retain evidence that internal standardisation has been carried out.

## 6. Candidates Malpractice

### 6.1 Candidates **must not**:



- submit work which is not their own
- lend their own work to others or allow their work to be copied
- allow others access to, to the use of, their own independently sourced material (this does not mean that candidates may not lend their books to one another, but candidates must not plagiarise other's research)
- use any books, the internet or other sources without acknowledgement or attribution
- submit work word processed by a third party without acknowledgement

These actions constitute malpractice, for which a penalty, (e.g. disqualification from the assessment) will be applied. Teachers must inform candidates of the JCQ regulations concerning malpractice, as detailed in the JCQ booklet *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*.

This document can be found on the JCQ website:

[http://www.jcq.org.uk/exams\\_office/malpractice/](http://www.jcq.org.uk/exams_office/malpractice/).

- 6.2 If irregularities in controlled assessments are discovered **prior** to the candidate signing the declaration of authentication this should be dealt with under the plagiarism policy and need not be reported to the awarding body, but should be discussed with your line manager. Details of any work which is not the candidate's own **must** be recorded on the authentication form supplied by the awarding body or other appropriate place.
- 6.3 If irregularities in controlled assessments are identified by a centre **after** the candidate has signed the declaration of authentication, the head of department must raise the concern with the exams officer who will advise on the most appropriate course of action; staff should at this point not discuss the concern with any other party including students, parents, other staff or the awarding body. The exams officer will coordinate any investigation, liaise with the Awarding Body and advise on appropriate action to take. Guidance and Form JCQ/M1 is provided in the JCQ booklet *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*. Copies of the booklet and the form can be found on the JCQ website: [http://www.jcq.org.uk/exams\\_office/malpractice/](http://www.jcq.org.uk/exams_office/malpractice/).

## 7. Submission of Marks and Work for Internally Assessed Controlled Assessments

- 7.1 Forms for recording final marks for internally assessed controlled assessments are supplied by the awarding body. The forms and any other documentation provided must be completed in accordance with the instructions given and returned to the awarding body by the date specified.
- 7.2 Where marks are submitted electronically, the awarding body may also require a copy of the marks to be submitted to the moderator, along with any other documentation needed.
- 7.3 It is strongly advised that staff do not discuss the marks / grades that students receive for the final submission as these are subject to change. If departments chose to disclose grades then in doing so must make it clear that those marks are subject to change through the moderation and certification process.
- 7.4 Awarding bodies may not accept work from centres that arrives too late to be moderated.
- 7.5 Staff must not enter marks in isolation; this will ensure accuracy.

## 8. External Moderation

- 8.1 The purpose of moderation is to bring the marking of internally-assessed components in all participating centres to an agreed standard.
- 8.2 The normal procedure is postal moderation, where the department submits a sample of work to the moderator. For certain components however the moderator may visit the department to mark the sample of work.
- 8.3 By the date specified, each department must submit to the awarding body:
- details of marks awarded
  - authentication of the work submitted for assessment
  - confirmation that internal standardisation has been carried out as required
  - any other information as the specification may require
- 8.4 If further evidence of the centre's marking is required, the moderator may request some or all of the remaining work, which **must** be available having been kept securely.

## 9. Externally Assessed Controlled Assessments

- 9.1 In some specifications, controlled assessment is externally assessed. In such cases, the work of all candidates, together with the authentication statements, must be sent by a specified date to an awarding body/examiner for marking.

## 10. Factors affecting Individual Candidates

- 10.1 Teachers should be able to accommodate the occasional absence of a candidate by ensuring that an opportunity is given to them to make up the missed controlled assessment. An alternative supervised session may be organised for such candidates by the Head of Department. This must be under the same level of control as the initial assessment and conducted with someone from the department or an external invigilator booked through the exams office.
- 10.2 If the scheduled assessment cannot be repeated, for instance because it involves a whole group, then the Head of Department should contact the awarding body for advice. It may be possible to accept an application for part absence. The candidate **must** have covered the whole course and have been fully prepared for the assessment but unable to attend on the scheduled date(s).
- 10.3 If a candidate's work has been **lost within the examination centre** and despite every effort it cannot be found, or it has been accidentally destroyed, the circumstances should be reported immediately to the exams office who will then work with the Awarding Bodies. [http://www.jcq.org.uk/exams\\_office/access-arrangements/](http://www.jcq.org.uk/exams_office/access-arrangements/).
- 10.4 If a candidate has been subject to an unforeseen prolonged illness or other misfortune during the period when the controlled assessment work was produced, it may, in some subjects be possible to accept a reduced quantity of work without penalty, **as long as all of the assessment objectives have been covered at least once**. This will not be possible if the specification requires only one piece of work. Where several pieces of

work are required, the reduction will be accepted only if those pieces are testing the same criteria. It will not be possible to give this consideration in every case, for example, if work has not been submitted or the assessment objectives have not been satisfied. Please check subject specification guidance.

- 10.5 No adjustment to the marks should be made by the department. A special consideration form, **Form 10-JCQ/SC** should be submitted to the awarding body by the exams officer, attached to a breakdown of marks across the assessment objectives. Candidates **must** have been fully prepared for the course but unable to finish the controlled assessment.

**This arrangement does not apply when candidates join the course late.**

## 11. Access Arrangements

- 11.1 It is possible for access arrangements to be granted so that candidates with particular requirements can access the assessment(s). These arrangements **must** be made in advance of examinations and assessments.

Heads of departments have the responsibility to ensure that students with entitlement to access arrangements receive their concessions. The SENCO holds an up-to-date list.

- 11.2 The overriding principle is that if a candidate has an access arrangement as part of his or 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(s). As with written examinations, an approved application must be on file, with supporting evidence of need where required. Teaching staff should ensure that they are aware of any access arrangements which need to be applied during a controlled assessment session.

## 12. Re-working and Re-sitting Controlled Assessment Units

- 12.1 Candidates who wish to re-do their submission of a controlled assessment **before the marks have been sent to the awarding body** may do so, **at the discretion of the department**, under the following conditions:

- Where the work presented for assessment has to be carried out under formal supervision, any candidate re-doing this work must undertake a different task, (this new task must, of course, be available for the examination series in question), which must be undertaken in a new period of formal supervision. Candidates must not be allowed to make another attempt at the original task. However, candidates may re-use the research carried out for the original task.
- Where the work presented for assessment has to be carried out under informal supervision, candidates may make amendments to it in the light of feedback from their teacher provided this feedback is in line with the requirements of the specification. Candidates must not be allowed to make amendments after the work has been submitted for final assessment by the teacher.

Head Teacher: \_\_\_\_\_

Examinations Officer: \_\_\_\_\_

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## USEFUL CONTACTS

### Mr R Jotangia (Examinations Officer)

Tel (020) 8429 0005 ext 540 149

Fax (020) 8868 8213

Direct Line: (020) 8439 9573

E-Mail: [rjotangia.312@lgflmail.org](mailto:rjotangia.312@lgflmail.org)

### JCQ

Tel (020) 7638 4132

Fax (020) 7374 4343

Website [www.jcq.org.uk](http://www.jcq.org.uk)

E-mail: [info@jqc.org.uk](mailto:info@jqc.org.uk)

### AQA

Tel (01483) 506 506 (Guildford)

Tel (01423) 840 015 (Harrogate)

Tel (0161) 953 1180 (Manchester)

Website [www.aqa.org.uk](http://www.aqa.org.uk)

E-Mail: [mailbox@aqc.org.uk](mailto:mailbox@aqc.org.uk)

### OCR

Tel (01223) 553 998

Website [www.ocr.org.uk](http://www.ocr.org.uk)

E-Mail: [general.qualifications@ocr.org.uk](mailto:general.qualifications@ocr.org.uk)

### WJEC

Tel (029) 2026 5000

Website [www.wjec.co.uk](http://www.wjec.co.uk)

E-Mail: [info@wjec.co.uk](mailto:info@wjec.co.uk)

### EDEXCEL

Tel (0845) 618 0440

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#### Document History

Date	Issue	Status	Comments
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Issue No: 3

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June 2011	1	New	Student Committee 06.10.11 accepted. To FGB 14.11.11 for information only
October 2012	1	Update	Change of Contact only 02.10.12
May 2014	2	Update	Change of header & footer only – to Student committee 19.05.14 accepted. To FGB 04.07.14 for information
October 2016	3	Updates	To Student Committee 10.10.16 – Approved – to FGB for information only 05.12.16

## APPENDIX 1

### Declaration of Authentication – Controlled Assessments

Each candidate is required to sign a declaration, before submitting their work to their subject teachers/assessors, stating that the work is their own and that any assistance given and/or

sources used have been acknowledged. **Ensuring that they do so is the responsibility of centres.**

Awarding bodies may issue Declaration of Authentication form to centres, which will replicate some or all of the wording detailed below. Please ensure that you obtain the most current document from the relevant awarding body.

Example

*“The work you submit for assessment must be your own.*

***If you copy from someone else, allow another candidate to copy from you, or if you cheat in any other way, you may be disqualified from at least the subject concerned.***

***Declaration by candidate***

*I have read and understood the **Notice to Candidates (GCSE and Principal Learning: Controlled Assessments)**. I have produced the attached work without assistance other than that which is acceptable under the scheme of assessment.*

***Candidate’s Name:.....***

***Candidate’s signature:.....Date.....***

***Declaration by teacher***

*I confirm that:*

- 1. the candidate’s work was conducted under the conditions laid out by the specification;*
- 2. I have authenticated the candidate’s work and am satisfied that to the best of my knowledge the work produced is solely that of the candidate.*

***Teacher’s name:.....***

***Teacher’s signature:.....Date:.....”***

**Appendix 2a**



**Produced on behalf of: AQA, City & Guilds, CCEA, OCR, Pearson and WJEC**

## **Information for candidates – Privacy Notice**

### **General and vocational qualifications**

**Effective from 1 September 2016**

The JCQ awarding bodies will process your personal data in accordance with the Data Protection Act 1998 and the *Code of Practice* issued by the qualification regulators of England, Wales and Northern Ireland.

**Correspondence on any aspect of a candidate's examination or assessment will only be conducted between the awarding body and the head of the centre, a member of the senior leadership team or the examinations officer.**

Awarding bodies will undertake the following administrative activities in relation to the processing and exchange of candidates' personal data:

1. Personal data relating to the name(s), date of birth, gender, unique candidate identifier (UCI) and unique learner number (ULN) of an individual candidate will always be collected by an awarding body for the purposes of examining and awarding qualifications. In some cases additional information, which may include sensitive personal data relating to health, will also be collected to support requests for access arrangements and reasonable adjustments and/or special consideration. Such personal data will be supplemented by the results of examinations and assessments undertaken by the respective candidate.
2. A candidate's personal data will only be collected from registered examination centres in the context of examination entries and/or certification claims.
3. Such data collected will not be used by an awarding body other than for the administration of the examinations process, conducting assessments and the certification of results claims.
4. Personal data within candidates' work will be collected and processed by an awarding body for the purposes of marking, issuing of examination results and providing candidates with access to post-results services. Examination results will be retained for a minimum of forty years.

In order for an awarding body to achieve this, some personal information may be transferred to third parties such as examiners, who may in some instances, reside outside the European Economic Area.

5. Awarding bodies may be required to provide a candidate's personal data to educational agencies such as DfE, WG, DENI, The Skills Funding Agency, Ofqual, HESA, UCAS, Local Authorities, EFA and Learning Records Service (LRS). Additionally, candidates' personal data may be provided to a

central record of qualifications approved by the awarding bodies for statistical and policy development purposes.

6. Some of the information candidate's supply will be used by the Skills Funding Agency to fulfil its statutory functions, issue/verify a candidate's Unique Learner Number (ULN) and update/check a candidate's Personal Learning Record.

The Skills Funding Agency may share a candidate's ULN and Personal Learning Record with other education related organisations, such as a careers service, a candidate's school or college, Government Departments and public bodies responsible for education. Further details of how information is processed and shared can be found at: <http://www.learningrecordsservice.org.uk/>

7. Awarding bodies are obliged to confirm what personal data is held, what it is held for, to whom the data is to/may be disclosed to, and disclose the information that they hold about data subjects, (e.g. the candidates) within 40 days of receiving a formal request for disclosure, subject to the application of any relevant exemptions under the Data Protection Act 1998.

Candidates should make an application to the appropriate awarding body's data protection officer. Awarding bodies may charge a fee for this service.

8. If you have not reached the age of 16, you may first wish to discuss this Privacy Notice with your parent or legal guardian.

Awarding bodies, schools, Department for Education (DfE), Welsh Government (WG), Department of Education Northern Ireland (DENI), Local Authorities, the Office of the Qualifications and Examinations Regulation (Ofqual), Ofsted, and Skills Funding Agency (SFA) are all 'data controllers' under the Data Protection Act 1998, in that they determine the purpose(s) for which 'personal data' (information about living individuals from which they can be identified) is processed and the way in which that processing is undertaken.

It is a requirement for data controllers to provide data subjects (individuals who are the subject of personal data) with details of who they are, the purposes for which they process the personal data, and any other information that is necessary to make the processing of personal data secure and accurate, including any third parties to whom it may be passed to.

## Appendix 2b





**This notice has been produced on behalf of:**

**AQA, CCEA, OCR, Pearson and WJEC**

### **Information for candidates – GCSE controlled assessments**

**This document tells you about some things that you must and must not do when you are completing your work.**

**When you submit any work for marking, you will be asked to sign an authentication statement confirming that you have read and followed these regulations.**

If there is anything that you do not understand, you **must** ask your teacher or lecturer.

Controlled assessment will provide you with an opportunity to do some independent research into a topic. The research you do may involve looking for information in published sources such as textbooks, encyclopaedias, journals, TV, radio and on the internet.

Using information from published sources (including the internet) as the basis for your assignment is a good way to demonstrate your knowledge and understanding of a subject. You must take care how you use this material though – you cannot copy it and claim it as your own work.

**The regulations state that:**

**“the work which you submit for assessment must be your own”;**

**“you must not copy from someone else or allow another candidate to copy from you”.**

If you use the same wording as a published source, you must place quotation marks around the passage and state where it came from. This is called “referencing”. You must make sure that you give detailed references for everything in your work which is not in your own words. A reference from a printed book or journal should show the name of the author, the year of publication and the page number, for example: (Morrison, 2000, pg.29).

For material taken from the internet, your reference should show the date when the material was downloaded and must show the precise web page, not the search engine used to locate it. This can be copied from the address line. For example:

<http://www.bbc.co.uk/schools/16/sosteacher/history/49766.shtml>), downloaded 5 February 2017.

You may be required to include a bibliography at the end of your work. Your teacher or lecturer will tell you whether a bibliography is necessary. Where required, your bibliography must list the full details of publications you have used in your research, even where these are not directly referred to, for example: Morrison, A. (2000) ‘Mary, Queen of Scots’, London: Weston Press.

**If you copy the words or ideas of others and don’t show your sources in references and a bibliography, this will be considered as cheating.**

### **Preparing your work – good practices**

If you receive help and guidance from someone other than your teacher, you **must** tell your teacher who will then record the nature of the assistance given to you.

If you worked as part of a group on an assignment, for example undertaking field research, you must each write up your own account of the assignment. Even if the data you have is the same, the description of how that data was obtained and the conclusions you draw from it should be in your own words.

You must meet the deadlines that your teacher gives you. Remember – your teachers are there to guide you. Although they cannot give you direct assistance, they can help you to sort out any problems before it is too late.

Take care of your work and keep it safe. Don't leave it lying around where your classmates can find it. You must always keep your work secure and confidential whilst you are preparing it; do not share it with your classmates. If it is stored on the computer network, keep your password secure. Collect all copies from the printer and destroy those you don't need.

Don't be tempted to use essays from on-line essay banks – this is cheating. Electronic tools used by awarding bodies can detect this sort of copying.

You must not write inappropriate, offensive or obscene material.

### **Plagiarism**

Plagiarism involves taking someone else's words, thoughts or ideas and trying to pass them off as your own. **It is a form of cheating which is taken very seriously.**

Don't think you won't be caught; there are many ways to detect plagiarism.

- Markers can spot changes in the style of writing and use of language.
- Markers are highly experienced subject specialists who are very familiar with work on the topic concerned – they may have read the source you are using (or even marked the essay you have copied from!).
- Internet search engines and specialised computer software can be used to match phrases or pieces of text with original sources and to detect changes in the grammar and style of writing or punctuation.

### **Penalties for breaking the regulations**

If your work is submitted and it is discovered that you have broken the regulations, one of the following penalties will be applied:

- The piece of work will be awarded zero marks;
- You will be disqualified from that unit for the examination series in question;
- You will be disqualified from the whole subject for that examination series;
- You will be disqualified from all subjects and barred from entering again for a period of time.

Your awarding body will decide which penalty is appropriate.

**REMEMBER – IT'S YOUR QUALIFICATION SO IT NEEDS TO BE YOUR OWN WORK**

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## Appendix 2c



AQA	City & Guilds	CCEA	OCR	Pearson	WJEC
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**Information for candidates**  
**Guidelines when referring to examinations/assessments through the Internet**

**This document has been written to help you. Please read it carefully.**

We all like to share our experiences when taking examinations. However, it is important to consider what you say. Your comments may lead to an investigation for malpractice and result in the application of a penalty.

Awarding bodies monitor social media and websites. They do not wish to see candidates jeopardise their marks or grades as there are significant consequences for anyone caught breaching the rules for examinations, controlled assessment or coursework.

The rules are set by the Joint Council for Qualifications (JCQ) on behalf of all the awarding bodies and can be found at: <http://www.jcq.org.uk/exams-office/malpractice>

Examples of statements or activities that will lead to a malpractice investigation include:

- Copying or allowing work to be copied – i.e. posting written work on social networking sites prior to an examination/assessment;
- Collusion: working collaboratively with other candidates beyond what is permitted;
- Allowing others to help produce your work or helping others with theirs;
- Being in possession of confidential material in advance of the examination;
- Exchanging, obtaining, receiving or passing on information by any means of communication (even if just attempting to);
- Passing on rumours of exam content from another candidate.

**This list is not exhaustive. Other instances of candidate malpractice may be considered by an awarding body.**

If you are found guilty of breaching any of these rules you could find yourself facing:

- A warning;
- The loss of marks for a section, component or unit;
- Disqualification from a unit, all units or qualifications; or
- A ban from sitting exams for a set period of time.

**You must familiarise yourself with the rules:**

<http://www.jcq.org.uk/exams-office/information-for-candidates-documents>

Take care to avoid possible malpractice and the application of a penalty.

JCQ 2014

**APPENDIX 3****Script for teachers****High control****To be read out by the teacher at the beginning of all controlled assessment sessions requiring formal supervision**

- You are about to begin your controlled assessment
- You are now in controlled exam conditions and are required to adhere to the regulations of Haydon School and the exam board.
- This controlled assessment will be carried out in silence
- You should have put your bag at the front of the room and your mobile phone and Haydon Identity card should be in your bag.
- You must only have the equipment you need to write the piece and no pencil case on your desk.
- You should have no materials other than those specified by your teacher.
- If you have any of these items, please let us know and we will remove them.
- You should remain seated at all times during this exam. You will be asked to stand up and leave the room at the end.

**Cheating and Plagiarism:**

- Haydon School has a strict policy on cheating and plagiarism and we strongly suggest that students do not break the rules. Your teachers will be overseeing this exam and have been asked to report any suspicious behaviour.
- **Failure to abide by these rules or cheating will result in serious consequences. You will risk not only your CA but it may impact your external exam results.**

**APPENDIX 4**

DATE

Dear Parent/Guardian,

**Re: IMPORTANT INFORMATION - GCSE controlled assessment.**

The controlled assessments period is between ..... and will take place during regular lesson times.

The controlled assessment will consist of

*(include details of the content and nature of the assessment)*

This letter is to inform you of the policies relating to lateness, absence and behaviour during the assessment period.

**Lateness & absence:** If a student is considerably late to or absent from a controlled session they must have a note from the parent/carer with reason, daytime phone number and signature. If this is not provided additional time cannot be given. Students who are late to the session during the school day will not be given extra time unless a valid and proven reason is given. If the student is ill please notify the school as soon possible and provide a separate written letter addressed to ..... (Head of Department).

**Behaviour:** This forms part of their external assessment for the GCSE and as such must adhere to strict exam conditions. Students will be expected to follow the school behaviour policy at all times. Should it become necessary to remove a student from the classroom they will have to remain in a separate room for the duration of the controlled assessment period. Students will be informed of expectations at the start of each session; this will include mobile telephones being switched off and bags to be stored at the front of the classroom.

**Research outside school:** students can carry out some research outside school and must bring any evidence to the sessions; all research must then remain within school. Parents/carers can provide a letter to evidence the date and the time spent on research at home.

I would be grateful if you could discuss the above with your son/daughter. We will of course support them as much as possible during their assessment and we wish them every success. If you have any queries please email: (Head of Department)

Yours sincerely

**APPENDIX 5**

Example risks and issues	Possible remedial action		Staff ( <i>use 'RACI' to determine who should be listed</i> )
	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	DH i/c organisation
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	HoD
<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 / exams officer
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		HoD
<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	HoD / ICT support staff
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	HoD

Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	HoD
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Class teacher & HoD / exams office
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 N.B. retakes of controlled assessment are limited	HoD / exams office
<b>Control levels for task taking</b>			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	HoD/HoF /exams office
<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	Class teacher
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		HoD
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.		HoD / exams office

<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	HoF
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	HoF
<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	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	HoD
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	HoD

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

<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.	Class teacher & HoD



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/HoF
<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	HoD
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/HoF

<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	HoD
Department 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.	HoF