



Joint Council for
Qualifications

**Instructions for conducting controlled
assessments (legacy GCSE qualifications)**

1 September 2016 to 31 August 2017

This document provides subject teachers, senior leaders and heads of centre with a single, definitive source of generic guidance and instructions for legacy GCSE qualifications.

These instructions must be forwarded electronically to each subject leader within the centre.

Produced on behalf of:



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Foreword

Controlled assessment was introduced for GCSE specifications (legacy specifications) for first teaching in September 2009 with the aim of addressing a number of issues that were believed to be compromising traditional coursework. Principally, controlled assessment was intended to:

- ensure that all candidates spend approximately the same amount of time on their assignments;
- prevent third parties from providing inappropriate levels of guidance and input;
- mitigate concerns about plagiarism and improve the reliability and validity of GCSE awards;
- allow centres a reasonable degree of freedom and control;
- allow candidates to produce an original piece of work.

Two years after its introduction, the qualifications regulators commissioned Ipsos MORI to survey the experiences of teachers in implementing controlled assessment. Guidance issued by the awarding bodies was generally rated as helpful and clear, but a number of concerns were identified.

This document, which was developed in 2012 from previous editions of the JCQ publication *Instructions for conducting controlled assessments*, addressed those concerns and will assist centres in ensuring that their controlled assessment policies are fit for purpose. It provides subject teachers, senior leaders and heads of centre with a single, definitive source of **generic** guidance and instructions for **all legacy GCSE specifications**.

Subject teachers must also refer to specifications or subject-specific documentation.

Controlled assessment in Functional Skills is not covered by this document.

Centres should refer to the relevant specifications and subject-specific guidance published by the awarding body.

1 Controlled assessment: the basic principles

What is controlled assessment?

Controlled assessment measures subject-specific skills that may not necessarily be tested by timed written papers.

What is the controlled assessment process?

There are three levels of control:

- high;
- medium;
- limited.

A different level of control may apply at each of the three stages:

- task setting;
- task taking;
- task marking.

The task-taking stage may involve two sub-stages requiring different levels of control.

For example, in science subjects:

- research and data collection requires limited control;
- evaluation requires high control.

The level of control for each stage/sub-stage is set by the qualifications regulators so that there is consistency between the awarding bodies. The awarding bodies adhere to the regulators' controlled assessment regulations for GCSE qualifications.

For example, all GCSE Physics specifications share the profile outlined below.

GCSE Physics stage/sub-stage	Level of control
Task setting	High
Task taking: Research and data collection	Limited
Task taking: Evaluation	High
Task marking	Medium

Similarly, all GCSE Physical Education specifications share the following profile.

GCSE Physical Education stage/sub-stage	Level of control
Task setting	Medium
Task taking: Research and data collection	Limited
Task taking: Evaluation	Medium
Task marking	Medium

How does JCQ monitor the management of controlled assessment in centres?

Since September 2010 the JCQ has required each centre to have a controlled assessment policy in place:

- to cover procedures for planning and managing controlled assessment;
- to define staff roles and responsibilities with respect to controlled assessment;
- to manage risks associated with controlled assessment.

A JCQ Centre Inspector will ask the examinations officer to confirm that a controlled assessment policy is in place. The guidance provided in this document will help the head of centre to ensure that the centre's controlled assessment policy is fit for purpose.

Which GCSE specifications are affected?

These instructions apply to all legacy GCSE specifications with a controlled assessment unit/component. The subjects are listed below.

Additional Applied Science
 Additional Science
 Agriculture and Land Use
 Ancient History
 Applied Business
 Art and Design
 Astronomy
 Biology
 Business and Communication Systems
 Business Studies
 Chemistry
 Child Development
 Chinese (Mandarin)
 Citizenship
 Classical Civilisation
 Computer Science
 Computing
 Construction
 Contemporary Crafts
 Dance
 Design and Technology
 Digital Communications
 Drama
 Electronics
 Engineering
 English
 English Language
 Environmental Science
 Expressive Arts
 Film Studies
 French
 Further Additional Science
 Gaelige

Geography
 Geology
 German
 Health and Social Care
 History
 Home Economics
 Hospitality and Catering
 Human Health and Physiology
 Humanities
 ICT
 Irish
 Italian
 Journalism in the Media and Communications Industry
 Learning for Life and Work
 Leisure and Tourism
 Manufacturing
 Media Studies
 Motor Vehicle and Road User Studies
 Moving Image Arts
 Music
 Performing Arts
 Personal and Social Education
 Physical Education
 Physics
 Preparation for Working Life
 Science
 Spanish
 Statistics
 Urdu
 Welsh
 Welsh Second Language

2 Managing controlled assessment: task setting

To what extent are centres involved in task setting?

It depends whether task setting is under high, medium or limited control.

High control	Where high control is specified, the awarding body is responsible for task setting. For the majority of specifications, centres make their selection from a number of comparable tasks provided by the awarding body. These tasks are designed to ensure that the assessment criteria, as detailed in the specification, are met.
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Medium control	Where medium control is exercised, centres may opt to select from a number of comparable tasks provided by the awarding body. Alternatively, centres may opt to design their own task(s) using criteria set out in the specification. The centre must take care to ensure that the task(s) provide(s) every candidate with an opportunity to meet the assessment criteria and have access to the full range of marks.
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Limited control	Where limited control is exercised, all centres design their own task(s) using criteria set out in the specification. The awarding body may provide exemplar tasks. The centre must take care to ensure that the task(s) provide(s) every candidate with an opportunity to meet the assessment criteria and have access to the full range of marks.
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When is it acceptable to contextualise tasks?

Where tasks are set by the awarding body, specifications always provide opportunities for centres to contextualise those tasks to best suit their centre-specific circumstances.

Each centre has the facility to:

- make the task relevant to its own environment;
- meet the needs and interests of its own candidates;
- provide candidates with access to appropriate resources.

Is it permissible to give candidates a copy of the marking criteria?

Yes. 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. It is perfectly acceptable for teachers to produce a simplified candidate-friendly version, provided that it is not specific to the work of an individual candidate or group of candidates.

3 Managing controlled assessment: issuing of tasks

When are controlled assessment tasks issued to centres?

You should consult the relevant awarding bodies to obtain the dates for issue of controlled assessment tasks. Awarding bodies issue tasks well in advance to allow time for planning, resourcing and teaching in centres.

How are controlled assessment tasks and mark schemes issued to centres?

It depends whether task setting is under high, medium or limited control.

- Where high control is specified, access to controlled assessment tasks is via the secure extranet of the relevant awarding body.
- Where medium or limited control is specified, tasks are normally accessible via the awarding body's website.

Mark schemes and assessment criteria are normally included in specifications.

In subjects where it could be advantageous for candidates to have access to work done on the same task in previous years, the regulators require tasks to be changed every year. This means that each task will be 'live' only within a specified period.

Teachers must ensure that they use the correct task for the year of submission.

What action should be taken if the wrong task is given to candidates?

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. Centres should therefore, take great care to ensure that they issue the correct task to candidates.

4 Managing controlled assessment : task taking

4.1 Supervision

External invigilators and display of the *JCO No Mobile Phone* poster and the *JCO Warning to Candidates* are **not** required. Centres must ensure that supervisors are aware of subject-specific requirements.

Centres must ensure that candidates understand what they need to do to comply with the regulations for controlled assessments as outlined in the JCO document *Information for candidates – controlled assessments* - <http://www.jcq.org.uk/exams-office/information-for-candidates-documents>

In particular, centres must ensure that candidates:

- understand that information from published sources must be referenced;
- receive guidance on setting out references;
- are aware that they must not plagiarise other material.

What does formal supervision (high level of control) actually involve?

The use of resources is tightly prescribed. The centre must ensure that:

- all candidates are within direct sight of the supervisor throughout the session(s);
- display materials which might provide assistance are removed or covered;
- there is no access to e-mail, the internet or mobile phones;
- candidates complete their work independently;
- interaction with other candidates does not occur;
- no assistance of any description is provided.

What does informal supervision (medium level of control) actually involve?

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

- all candidates participate in the assessment;
- there is sufficient supervision to ensure that work can be authenticated;
- the work an individual candidate submits for assessment is his/her own.

What does limited supervision (limited level of control) actually involve?

Work may be completed outside of the centre without direct supervision. Where limited control is specified, candidates may normally:

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

4.2 Advice and feedback

Centres should advise candidates on aspects such as those listed below before controlled assessment work begins:

- sources of information;
- relevance of materials/concepts;
- structure of the response (for example, chapter titles and content);
- techniques of data collection;
- techniques of data presentation;
- skills of analysis and evaluation;
- health and safety considerations;
- **security of their work.**

Centres **must not** provide model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings) unless the specification or subject-specific guidance states otherwise.

What advice and feedback can I give to candidates during the task-taking stage?

The task-taking stage of controlled assessment may involve two sub-stages, each of which may be subject to a different level of control. (See section 1 of this document).

If a high level of control is specified, you must not provide advice or feedback of any description.

If medium or limited control is specified, some categories of advice/feedback are permitted. The following table provides general guidance, but there are some exceptions.

Centres must refer to the relevant specification or subject-specific guidance for confirmation.

Category of advice/feedback	High control	Medium control	Limited control
• Review candidates' work and provide oral and written advice at a general level.	✗	✓	✓
• Evaluate progress to date and propose broad approaches for improvement.	✗	✓	✓
• Allow candidates to revise and re-draft work.	✗	✓	✓
• Provide detailed specific advice on how to improve drafts to meet assessment criteria.	✗	✗	✗
• Give detailed feedback on errors and omissions which leave candidates with no opportunity to show initiative themselves.	✗	✗	✗
• Intervene personally to improve the presentation or content of work.	✗	✗	✗

What if a candidate requires assistance over and above that allowed by the specification?

Before giving additional assistance beyond that described in the specification or subject-specific guidance, teachers must ensure that there is provision to record this assistance. Details must be documented on the record form issued by the awarding body. The intervention must be taken into account when marking the work. Annotation should be used to explain how marks were applied in the context of the additional assistance given. Failure to follow this procedure constitutes malpractice.

What are the rules on re-drafting?

Particular care is needed when drafting is one of the skills being assessed. In this situation:

- the assessment criteria will allow credit to be given where there is evidence of drafting and re-drafting;
- teachers must undertake an interim assessment of candidates' work.

The candidate must use his/her own initiative when re-drafting, without assistance from the teacher.

When drafting is **not** one of the skills being assessed, teachers may review candidates' work and provide advice at a **general level** unless the specification or subject-specific guidance states otherwise.

How should contact between the teacher and the candidate be monitored and recorded?

Where this may affect the marks awarded, the teacher should keep a record of feedback and advice provided to groups of candidates and to an individual candidate. When group work is permitted, the teacher's record should describe the candidate's contribution to any group work.

4.3 Resources

What resources are allowed under each level of control?

High control (formal supervision)	<ul style="list-style-type: none"> The use of resources is always tightly prescribed and normally restricted to the candidate's preparatory notes. Access to the internet is not permitted. If the specification allows candidates to bring their own computers or other electronic devices into formally supervised sessions, appropriate checks must be carried out to ensure that all material stored on the devices is permissible.
Medium control (informal supervision)	<ul style="list-style-type: none"> Candidates normally have unrestricted access to resources available at the centre and via the internet. There are some exceptions. Centres should refer to specifications or subject-specific guidance.
Limited control (limited supervision)	<ul style="list-style-type: none"> In many subjects candidates will need to gather information from published sources when researching and planning their tasks. Candidates are allowed unrestricted access to the internet and any electronic and printed resources available to them.

Are candidates allowed to introduce new resources between formally-supervised sessions?

No. Candidates are not allowed to augment notes and resources between sessions. When work for assessment is produced over several sessions, the following material must be collected and stored securely at the end of each session:

- the work to be assessed;
- preparatory work.

Additional precautions need to be taken if the centre permits candidates to use computers to store preparatory work and/or word process their work for assessment (**see page 15**).

The centre is responsible for establishing and implementing procedures to ensure that:

- all work which will be assessed is completed under formal supervision;
- candidates are not able to access preparatory work between supervised sessions.

Do candidates need to keep a record of work completed under informal and/or limited supervision?

The work submitted for assessment must include references where appropriate. To facilitate this, each candidate should keep a detailed record of his/her own research, planning, resources etc. The record should include all the sources used, including books, websites and DVDs.

How should sources be acknowledged?

Guidance is given in the JCQ document *Information for candidates – controlled assessments* – <http://www.jcq.org.uk/exams-office/information-for-candidates-documents>

4.4 Word and time limits

Specifications and subject-specific documentation include guidance on appropriate word limits or time limits.

How can centres impose time limits?

Centres are responsible for ensuring that candidates adhere to the specified time limits when high control (formal supervision) or medium control (informal supervision) is specified. When work is done under limited control the specified timings are for guidance only (unless otherwise stated in the specification), but centres should discourage candidates from exceeding them.

What are the consequences when a candidate’s work exceeds the word limit?

You should refer to the relevant specification or subject-specific guidance for clarification. Specifications fall into three broad categories described in the following table.

Category of specification	Consequences of exceeding word limit
A word limit is provided purely for guidance.	There is no penalty for exceeding the limit.
The assessment criteria allows credit to be awarded for work that is focused and concise.	Candidates who exceed the word limit may not have access to the full range of marks.
A rigid word limit is specified.	Work submitted over and above the word limit will not be taken into account and/or an additional penalty may be applied when marking and/or moderation takes place.

4.5 Scheduling

A survey of teachers carried out by Ipsos MORI highlighted the logistical challenges for schools, particularly around managing access to limited resources such as IT equipment and classroom space. Teachers may prefer their candidates to use IT to complete assessments at the write-up stage. With limited IT facilities available in many schools, this creates timetabling pressures and can sometimes encroach into periods when other teaching groups would otherwise be using the facilities.

What can centres do to reduce logistical problems?

- 1 Plan ahead – draw up an annual schedule for controlled assessment sessions that will require informal or formal supervision and/or access to the centre's IT resources.
- 2 Involve IT colleagues in the planning exercise.
- 3 Refer to the controlled assessment sections of individual specifications and subject-specific guidance for advice on the amount of time required. Decide how many sessions will be needed, and what will work best for your centre in terms of the intervals between sessions.
- 4 Some candidates will be entitled to extra time. Take account of the subjects affected and the number of candidates involved when drawing up the schedule.
- 5 Take account of the likelihood that some candidates will be absent for one or more of the sessions that require supervision. They will need to be given an opportunity to make up the missed time. Identify options for accommodating occasional absence and assess the likely impact of each option on staff, candidates and IT resources.
- 6 Spread controlled assessment across Years 10 and 11, and co-ordinate departmental timetables so that candidates are not doing controlled assessment in several subjects concurrently.
- 7 Review the centre's day-to-day procedures with respect to IT security and storage of confidential materials. Provided that day-to-day security arrangements are sufficiently robust, there is no requirement to implement additional measures for controlled assessment. For example, there is not a requirement for each candidate to have a different log-in name and password for each controlled assessment subject.

4.6 Collaboration and group work

When is group work permitted?

Candidates are free to collaborate when carrying out research and preparatory work under limited supervision.

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.

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 candidates are required to construct an artefact, they 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, if applicable, the record forms.

Should all members of a group get the same mark?

No. 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.

How is credit apportioned to individual candidates?

The centre is responsible for monitoring group work and ensuring that each candidate's contribution can be separately assessed.

4.7 Authentication procedures

How is candidates' work authenticated?

Each candidate **must** sign a declaration to confirm that the work he/she submits for final assessment is his/her own unaided work.

All teachers **must** sign the declaration of authentication after the work has been completed confirming that the work:

- is solely that of the candidate concerned;
- was completed under the required conditions.

Teachers **must** be sufficiently familiar with the candidate's general standard to judge whether the piece of work submitted is within his/her capabilities.

What if the teacher has doubts about the authenticity of the work?

If you are unable to confirm that the work presented by a candidate is his/her own:

- do not accept the candidate's work for assessment;
- record a mark of zero for internally assessed work.

If you are concerned that malpractice may have occurred you **must** inform your examinations officer. (See section 10).

4.8 Presentation of work

- 1 Allow candidates to word process written work if practicable. The regulations detailed in section 8 of the JCQ document *Instructions for conducting examinations* **do not** apply to controlled assessment.
- 2 Instruct candidates to insert the following details on each page as a header or footer:
 - 5 digit centre number;
 - candidate number;
 - unit/component code.
- 3 Allow candidates to use the spell/grammar check when they are word processing unless the specification or subject-specific guidance states otherwise.
- 4 Encourage candidates submitting handwritten work to use black ink and write legibly.
- 5 Submit word-processed or handwritten work on A4 paper unless the specification states otherwise.
- 6 Include copies of presentations, charts, artefacts, photographs, letters, videos, audio recordings, transcripts of interviews and witness statements from supervising teachers where appropriate.
- 7 Consider insuring valuable or fragile materials against loss or damage. Awarding bodies are not liable for the loss of work or damage that occurs during moderation or in transit.
- 8 Do not include items of real or sentimental value such as photographs or certificates.
- 9 Obtain informed consent from parents/carers if videos or photographs/images of candidates are being included as evidence of participation or contribution.
- 10 Remove bulky covers and folders before work is sent for moderation or external marking.
- 11 Ensure that each candidate's work is securely fastened and that the awarding body's cover sheet is fully completed and attached to the work.

4.9 Keeping materials secure

What constitutes secure storage in the context of controlled assessment?

Secure storage is defined as a securely locked cabinet or cupboard (where work is stored in hard copy format).

Where candidates are producing artefacts (e.g. Art and Design or Design and Technology) secure storage may be defined as a classroom, studio or workshop which is locked or supervised from the end of one session to the start of the next.

Is secure storage of candidates’ work required throughout the task-taking stage?

No. When candidates are undertaking research, data collection or other preparatory work under limited control (limited supervision), secure storage is **not** required at this stage.

When does the requirement for secure storage of candidates’ work come into play?

Secure storage is required from the point at which candidates embark on producing work for assessment.

All work that will be submitted for assessment must always be collected at the end of each session and stored securely between sessions.

Does the requirement for secure storage extend to candidates’ preparatory work?

Yes, if the work for assessment is being produced under high control (formal supervision).

<p>High control (formal supervision)</p>	<p>From the point at which candidates embark on producing work for assessment, they are not permitted to amend or augment their preparatory work.</p> <p>All work must therefore, be collected at the end of each session and stored securely between sessions – i.e. work for assessment and preparatory work.</p>
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<p>Medium control (informal supervision)</p>	<p>Work produced for assessment must be collected at the end of each session and stored securely between sessions. The requirement does not extend to preparatory work unless the specification or subject-specific guidance states otherwise.</p> <p>Candidates are allowed to continue to undertake preparatory work under limited control (limited supervision) beyond the point at which they embark on producing work for assessment.</p>
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What if candidates’ work is in an electronic format?

Candidates’ preparatory work may be in an electronic format. The work they are producing for assessment may also be in an electronic format. Centres must take steps to ensure that they meet the requirements for secure storage described above. This may involve collecting memory sticks for secure storage between sessions or restricting candidates’ access to specific areas of the centre’s IT network.

Are candidates allowed to use their own computers or other electronic devices?

Yes, but additional precautions must be taken if the centre permits candidates to use their own devices, either to store preparatory work and/or to write up their work. In these circumstances, the centre is responsible for establishing and implementing a procedure to ensure compliance with the requirements for secure storage described above.

Are teachers allowed to take work home to mark?

Yes, provided that they take sensible precautions regarding its security.

When can marked work be removed from secure storage?

Internally assessed work that is not required for moderation purposes and work returned to centres after moderation must be stored securely until all possible post-results services have been exhausted. If post-results services have not been requested, internally assessed work may be returned to candidates after the deadline for enquiries about results for the relevant series. If post-results services have been requested, internally assessed work may be returned once the enquiry about results and any subsequent appeal is complete.

When can preparatory work be removed from secure storage?

Preparatory work should remain in secure storage until marks have been submitted to the awarding body.

5 Controlled assessment: managing task marking

5.1 Externally-assessed controlled assessment units/components

Which controlled assessment units/components are externally assessed?

Communication in writing for the following Modern Foreign Languages is externally assessed:

- Chinese (Mandarin)
- French
- German
- Irish
- Italian
- Spanish
- Urdu

For these units/components, the work of **all** candidates must be submitted for assessment.

Will externally-assessed work be returned to centres automatically?

No. Externally-assessed controlled assessments are treated in the same way as examination scripts. Centres can ask for controlled assessment material to be returned using the access to scripts service. Feedback forms are **not** available for externally-marked components.

5.2 Marking internally-assessed controlled assessment units/components

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

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. If the moderator cannot find evidence to justify the marks awarded to a candidate, the work may be returned to the centre for further explanation or the mark may be adjusted.

5.3 Annotation and marking

Annotate the work	<ul style="list-style-type: none"> Follow guidance in the relevant specification and associated subject-specific documents. Provide evidence to support your marks. Identify the assessment criteria that have been met. Be clear and unambiguous. Use key phrases from the criteria. For example, awareness of values, uses a variety of techniques, selects appropriate data. Insert annotations at the appropriate point in the work - in the margin or in the text – or write comments on the cover sheet to show clearly how credit has been awarded.
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Award marks	<ul style="list-style-type: none"> If some work was done in groups, award marks that reflect the contribution of each individual candidate. If the candidate has received feedback and guidance over and above that allowed by the specification, take this into account. Apply the principle of best fit and use annotation to explain how marks have been applied in the context of the additional assistance given and document the details.
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Complete the documentation	<ul style="list-style-type: none"> Record the feedback and guidance that you have given. Enter marks on the appropriate forms provided by the relevant awarding body.
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What is the correct procedure if a candidate submits little or no work?

Candidate submits no work whatsoever	When marks are submitted to the awarding body the candidate must be recorded as absent (<u>and not awarded a mark of zero</u>).
Candidate submits very little work	If some work has been produced, it should be assessed against the assessment criteria and mark scheme. The appropriate mark should be awarded. If none of the work submitted is worthy of credit, a mark of zero should be given.

Is the centre allowed to tell candidates what marks they have been awarded?

The centre should inform candidates of the marks which have been submitted to the awarding body, but in doing so must make it clear that those marks are subject to change through the moderation process. Candidates should be advised of their marks within a sufficient window in order to allow time for any internal appeal to be concluded **prior to** the submission of centre marks to the awarding body.

Centres should **not** attempt to convert marks to grades in advance of the publication of results.

What is the correct procedure where a teacher teaches his/her own child?

The centre must declare the conflict of interest and submit the marked work for moderation, whether or not it is part of the moderation sample.

5.4 Internal standardisation

Candidates' work **must** be dated by teachers to reflect the time at which it was marked.

It is important that all teachers involved in the assessment of a unit/component mark to common standards. Centres must ensure that the internal standardisation of marks across assessors and teaching groups takes place. The following sequence is an example of good practice.

Obtain reference materials at an early stage in the course

- Obtain exemplar material provided by the awarding body and use your centre's own archive material.

Hold a preliminary trial marking session prior to marking

- Include all the teachers involved in assessment.
- Compare standards through cross-marking a small sample of work.
- Agree a common understanding of the assessment criteria.

Carry out further trial marking at appropriate points during the marking period

- Repeat the trial marking/cross-marking exercise.
- Ensure that any discrepancies in marking are resolved.

After most marking has been completed

- Hold a further meeting to make final adjustments or assign responsibility for comparing marks to the teacher responsible for internal standardisation.

Make final adjustments to marks prior to submission

- If there are inconsistencies ensure that the teacher(s) concerned make(s) adjustments to their marks.
- The teacher responsible for internal standardisation checks the new marks.

Retain work and evidence of standardisation

- Retain evidence that internal standardisation has been carried out.
- Keep candidates' work in secure storage until after the closing date for enquiries about results for the series concerned. (See section 4.9, pages 14-16).

5.5 Consortium Arrangements

A consortium is a group of centres from which candidates are taught and assessed together. If your centre is part of a consortium, follow these steps.

1 Nominate a consortium co-ordinator who will liaise with the awarding body on behalf of all the centres.

2 Inform the relevant awarding body that your centre is part of a consortium using Form JCQ/CCA *Centre consortium arrangements for centre-assessed work* - <http://www.jcq.org.uk/exams-office/forms>

Complete a separate form for each specification that is being taught and assessed jointly.

Make a new application for each examination series.

3 Return the form to the relevant awarding body by:
1 October 2016 for the November 2016 series;
31 October 2016 for the January 2017‡ series;
31 January 2017 for the June 2017 series.

‡**Only applies where GCSE specifications are available in January 2017 and does not apply to centres in England.**

4 Follow the procedures for internal standardisation described in **section 5.4 as a consortium** i.e. include all the teachers involved in assessment from all centres in the consortium.

5 Submit marks as detailed in **section 5.6** of this document.
 Each centre in the consortium submits marks for its own candidates.

6 Submit a single sample of work for moderation as specified by the awarding body.

The awarding body will allocate the same moderator to all centres in the consortium.

If marks need to be adjusted, the adjustment will be applied across the consortium.

7 Retain all candidates' work from all the centres in the consortium until after the closing date for enquiries about results for the series concerned.

If the consortium requests an enquiry about results, the work must be available from all the centres, as the original sample will be required for review of moderation.

5.6 Submission of marks and work for moderation

- 1 Set internal deadlines that will allow your centre to meet the deadline for the submission of marks and candidates' work, as published by the awarding body. This will enable the awarding body to meet the deadlines for completion of moderation and release of results. Awarding bodies may refuse to accept work submitted after the deadline.
- 2 Follow the awarding body's instructions regarding the submission of marks. This can normally be done electronically. **It is the responsibility of centres to carefully check the marks they are submitting to an awarding body in order to minimise errors. Marks for all candidates, not just the sample submitted, must be checked by the centre for both addition and transcription errors before submission.**
- 3 Submit supporting documentation required by the awarding body:
 - authentication of candidates' work;
 - confirmation that internal standardisation has been undertaken;
 - any subject-specific information.

Is it possible to obtain an extension to the deadline for submission of marks?

Where a centre has been affected by circumstances beyond its control, it may, in exceptional cases, be possible to grant a short extension. This is at the discretion of the awarding body.

The centre must contact the awarding body as soon as possible to request an extension.

The timely release of examination results will be put at risk if the deadlines for submission of marks and samples are not adhered to.

5.7 Storage and retention of work after submission of marks

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| Moderation sample | <ul style="list-style-type: none"> • Keep a record of names and candidate numbers for candidates whose work was included in the sample. This information may be needed if an enquiry about results is made. • Moderators normally return work direct to centres but work submitted electronically is not returned. |
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| Marked work | <ul style="list-style-type: none"> • Retain marked work under secure conditions until after the deadline for enquiries about results. This applies to all work – whether or not it was part of the moderation sample. • Where work is being stored electronically, take steps to protect it from corruption and have a back-up procedure in place. • If retention is a problem because of the nature of the work, retain some form of evidence such as photos, audio or video recordings. |
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| Extracts and exemplar work | <ul style="list-style-type: none"> • Awarding bodies will retain the work of some candidates for archive and standardisation purposes. • For information on copyright please see paragraphs 6.12 to 6.19 of the JCO publication <i>General Regulations for Approved Centres</i> http://www.jcq.org.uk/exams-office/general-regulations |
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5.8 External moderation – the process

The purpose of moderation is to ensure that the standard of marking is consistent across all centres.

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| Sample selection | <ul style="list-style-type: none"> • The awarding body (or moderator acting on its behalf) specifies the sample which will include work from across the range of attainment at the centre. |
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It is the responsibility of centres to ensure that moderators receive the correct samples of work to review.

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| Sample submission | <ul style="list-style-type: none"> • For most units/components, the centre submits a sample of work either to the moderator or directly to the awarding body, according to instructions. • For some units/components the moderator visits the centre to mark the sample of work. • Different procedures are used for subjects such as PE, where work is ephemeral. |
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| Sample assessment | <ul style="list-style-type: none"> • The moderator assesses work in the sample using the published marking criteria. |
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| Mark comparison and adjustment | <ul style="list-style-type: none"> • Moderator marks are compared with the centre marks for the sample of work. • The moderator may request some or all of the remaining work if he/she needs further evidence of the centre's marking. • If the differences between the moderator's marks and the centre's marks exceed the allowed tolerance, but the moderator broadly agrees with the centre's rank order, adjustments may be applied to the centre's marks. • If the moderator significantly disagrees with the centre's rank order (perhaps because internal standardisation has not been carried out effectively) the awarding body may ask the centre to re-consider its marks. Alternatively, the moderator's marks may be applied to all candidates in the centre and, in some circumstances, a charge may be made. |
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| Feedback to centres | <ul style="list-style-type: none"> • The final moderated marks are issued to centres electronically when results are published. • Feedback forms are also issued to centres. |
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5.9 External moderation - feedback

What sort of feedback can we expect?

Feedback is intended to enable the centre to take remedial action, if necessary, before the next examination series. The feedback given is intended to be constructive, objective, supported by fact or judgement, and sufficiently detailed to explain any differences between the centre's assessments and the agreed standard for the unit/component.

Feedback will cover the following aspects:

Tasks	<ul style="list-style-type: none"> Were they appropriate (where set or contextualised by the centre)? Was there adequate coverage of the assessment objectives?
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Centre assessments	<ul style="list-style-type: none"> Were they accurate against the criteria and in relation to the agreed standard for the unit/component?
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Centre administration	<ul style="list-style-type: none"> Was this satisfactory?
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6 Controlled assessment: access arrangements

The JCQ document *Access Arrangements and Reasonable Adjustments, 1 September 2016 to 31 August 2017* provides detailed information - <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>

Awarding bodies have developed their specifications to be compliant with equality legislation. Access arrangements will be granted provided that these do not undermine the integrity of the qualification.

In principle, if a candidate has an access arrangement as part of his/her normal way of working within the centre, a similar arrangement will normally be permitted for written examinations and controlled assessment. **Centres must apply for access arrangements in advance of examinations and controlled assessments.**

How can centres prepare themselves to cater for candidates with access arrangements?

When drawing up the schedule for controlled assessment sessions, take account of the fact that candidates entitled to extra time will need to be supervised.

All relevant staff must be aware of any access arrangements which need to be applied during a controlled assessment session.

7 Controlled assessment: special consideration

The JCQ document *A guide to the special consideration process* provides detailed information – <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>

7.1 Absence

If candidates are absent will they be eligible for special consideration?

Short-term occasional absence	<ul style="list-style-type: none"> The candidate was unexpectedly absent for one or more of the controlled assessment sessions that require supervision. 	<p>Not eligible for special consideration.</p> <p>The candidate should be given an opportunity to make up the missed time.</p>
Joined the course at a late stage	<ul style="list-style-type: none"> The candidate was absent for some of the controlled assessment sessions that require supervision because he/she joined the course at a late stage. 	<p>Not eligible for special consideration.</p> <p>The candidate should be given an opportunity to make up the missed time, if feasible.</p>
Longer-term absence prior to the terminal examination series (Not applicable to candidates at centres in England)	<ul style="list-style-type: none"> The candidate was absent for acceptable reasons when his/her peers undertook a controlled assessment unit/component. The unit/component was being submitted prior to the terminal examination series. There will be another assessment opportunity prior to the series in which the candidate certificates. 	<p>Not eligible for special consideration.</p> <p>The candidate should submit the unit/component in a subsequent examination series.</p>
Longer-term absence during the terminal examination series	<ul style="list-style-type: none"> The candidate was absent for acceptable reasons when his/her peers undertook a controlled assessment unit/component and was unable to complete the work at a later date, prior to the end of the published window. The unit/component was being submitted in the terminal examination series. As this is the candidate's terminal examination series there will be no further assessment opportunity to complete the work. 	<p>May be eligible for special consideration provided the published criteria are met.</p>

What are the criteria for a candidate who has been absent to be eligible for special consideration?

- The candidate has covered the whole GCSE course and has been fully prepared for the relevant controlled assessment unit/component.
- The candidate was unable to complete the relevant controlled assessment unit/component **during the terminal examination series** at the same time as his/her peers for an acceptable reason, i.e. a temporary injury, illness or other indisposition. (The controlled assessment was scheduled for a restricted period of time.)
- The centre has taken all reasonable steps to try to accommodate the candidate in completing the controlled assessment unit/component in a subsequent supervised session, including the consideration of a short extension.
- The centre can clearly set out why the controlled assessment unit/component could not be completed in the terminal examination series by means of an agreed extension.
- The candidate has completed at least 50% of the total assessment.
- The centre supports the application for special consideration.

Are there any circumstances in which the awarding body will accept a reduced quantity of work?

Yes, provided that **all** the following criteria are met.

- The specification requires completion of more than one piece of work.
- All pieces of work are assessed against the same criteria.
- The candidate has completed at least one piece of work and all the assessment objectives have been covered at least once.

7.2 Loss of work

What are the criteria for a candidate, whose work has been lost, to be eligible for special consideration?

Candidate responsible for loss	<ul style="list-style-type: none"> • The loss is a consequence of negligence on the part of the candidate. 	Not eligible for special consideration.
Centre responsible for loss	<ul style="list-style-type: none"> • The loss is not a consequence of negligence on the part of the candidate. • The centre is able to verify that the work was completed or partially completed and had been monitored whilst it was in progress. 	Eligible for special consideration.

What is the procedure for requesting special consideration for a candidate whose work has been lost?

Obtain guidance

Refer to the JCQ document
A guide to the special consideration process –
<http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>

Report the loss

Submit **Form 15 – JCQ/LCW** to the relevant awarding body -
<http://www.jcq.org.uk/exams-office/forms>

AQA and OCR centres must not submit Form 15 – JCQ/LCW. Applications must be submitted on-line using e-AQA or OCR Interchange as appropriate.

If the work had been marked before it was lost or damaged

Submit the mark in the usual way.

Submit **Form 15 – JCQ/LCW** to the moderator and the awarding body by the deadline for submission of marks.

AQA and OCR centres must not submit Form 15 – JCQ/LCW. Applications must be submitted on-line using e-AQA or OCR Interchange as appropriate.

If the work had **not** been marked before it was lost or damaged

Submit an estimated mark on **Form 15 – JCQ/LCW**.
 Base the estimate on the teacher's assessment of the work actually seen.
 Do **not** attempt to estimate marks for work not seen.

AQA and OCR centres must not submit Form 15 – JCQ/LCW. Applications must be submitted on-line using e-AQA or OCR Interchange as appropriate.

If only part of the work is lost

Seek further guidance from the awarding body.

8 Controlled assessment: making a fresh attempt

Are there any circumstances under which a candidate can produce a new piece of work prior to the submission of marks to the awarding body?

If the centre is willing to undertake additional supervision and/or marking, it may be possible for the candidate to make a fresh attempt.

Is it permissible for a candidate to make a fresh attempt at a task requiring high control (formal supervision)?

The candidate is **not** allowed to make another attempt at the same task or enhance the work already submitted. **He/she is allowed to attempt a different task provided that a valid alternative is available for the series concerned.** The candidate may re-use the research already undertaken if it is relevant to the new task.

Is it necessary to provide an alternative task when work is produced under medium control (informal supervision)?

No. The candidate is allowed to amend and improve his/her work, provided that the feedback and advice he/she receives is in line with the requirements of the specification or subject-specific guidance.

9 Controlled assessment: re-entering units/components in 2016/17

Are candidates allowed to re-enter controlled assessment units/components?

Candidates following a **unitised** GCSE scheme of assessment can re-enter controlled assessment units/components during the academic year 2016/2017. The unit/component can only be re-entered once before certification. **(This does not apply to candidates at centres in England.)**

Can a candidate who re-enters make another attempt at the same task?

Yes, provided that it is not prohibited by the specification and the task is still available and valid.

Subjects where the task is not replaced every year	<ul style="list-style-type: none"> • A candidate who re-enters in January 2017‡ or June 2017 is allowed to make another attempt at the same task. • The work presented for assessment must be entirely new. The candidate must not be allowed to amend work previously submitted. • The candidate may re-use research carried out previously.
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Subjects where the task is replaced every year	<ul style="list-style-type: none"> • If the unit/component is available in more than one series in the year, and the task is the same for each series, a candidate re-taking in that year is allowed to make another attempt at the same task. • The work presented for assessment must be entirely new. The candidate must not be allowed to amend work previously submitted. • The candidate may re-use research carried out previously. • If the unit/component is only available in one series per year, there will be no opportunity for a candidate to make another attempt at the same task.
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‡Only applies where GCSE specifications are available in January 2017 and **does not** apply to candidates at centres in England.

What are the implications of linear GCSEs in England?

The first award of linear GCSE qualifications took place in summer 2014.

A candidate wishing to improve his/her grade for a linear GCSE qualification will be required to re-sit the entire qualification. The candidate will not be permitted to re-sit individual units/components. A candidate who is satisfied with the mark previously awarded for controlled assessment will normally have the option to re-use (carry forward) that mark.

What if the re-entered unit/component is being counted towards the 40% terminal rule requirement for a unitised GCSE qualification?

If a controlled assessment unit/component has been re-entered and is subsequently used to contribute to the 40% terminal rule requirement, the new mark will be used - whether or not it is better than the previous mark. **(This does not apply to candidates at centres in England.)**

Can candidates re-do individual tasks within a controlled assessment unit/component?

No. If the unit/component requires candidates to complete a number of tasks, a candidate who does not wish to re-use his/her previous mark must re-do **all** the tasks within the unit/component, so that all work presented for assessment is new. Candidates cannot re-submit tasks or re-use the previous mark for an individual task.

Can candidates re-use work in a different unit/component or different specification?

No. Candidates are not allowed to re-use work from a unit/component in one specification for a unit/component in a different specification (or for another unit/component in the same specification) either in the same examination series or a subsequent series. Candidates may re-use their research (provided that this is not directly assessed in either of the units/components) **but the work presented for assessment must be entirely new.**

10 Controlled assessment: malpractice

For detailed guidance on dealing with suspected malpractice you should refer to the JCQ document *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* - <http://www.jcq.org.uk/exams-office/malpractice>

Candidates must not:

- submit work which is not their own;
- lend work to other candidates or allow other candidates to copy their work;
- allow other candidates to have access to their own independently sourced material;
- assist other candidates to produce work;
- use books, the internet or other sources without acknowledgement or attribution;
- submit work that has been word processed by a third party without acknowledgement.

Candidates are not prohibited from lending books or other resources to one another but they must not plagiarise others' research.

What should a centre do if it suspects malpractice?

Irregularities identified by the centre **prior** to the candidate signing the authentication statement

- The centre should deal with the irregularity under its own internal procedures.
- There is no requirement to report the irregularity to the awarding body.
- Details of any work which is not the candidate's own must be recorded on the record form.

Irregularities identified by the centre **subsequent** to the candidate signing the authentication statement

- The head of centre must notify the relevant awarding body at the earliest opportunity using **Form JCQ/M1**.
- If malpractice is found the awarding body will apply a penalty.

Irregularities identified by an examiner or moderator **subsequent** to the candidate signing the authentication statement

- The awarding body will ask the head of centre to conduct a full investigation and report his/her findings.

What penalty is applied when malpractice has occurred?

If a breach of the regulations is discovered and malpractice is found by the awarding body **after** a candidate has signed the authentication statement, the awarding body will apply **one** of the following penalties:

- the piece of work will be awarded zero marks;
- the candidate will be disqualified from that unit/component for that examination series;
- the candidate will be disqualified from the whole subject for that examination series;
- the candidate will be disqualified from all subjects and barred from re-entering for a period of time.

11 Controlled assessment : enquiries about results services

For detailed information on enquiries about results services you should refer to the JCQ document *Post Results Services, Information and guidance for centres*

<http://www.jcq.org.uk/exams-office/post-results-services>

The following post-results services may be requested.

Externally-assessed components	Mark review (Service 2)
	Priority mark review (Priority Service 2)

Internally-assessed components	Moderation review (Service 3)
	This service is not available if no adjustment was made to the centre's marks as a result of the original moderation. <u>A moderation review is not available for an individual candidate.</u>

What is the procedure for obtaining a moderation review?

Initiate an enquiry about results	<ul style="list-style-type: none"> • Submit a request for Service 3 – moderation review. • The awarding body will provide details of where to send the sample.
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Despatch moderation sample	<ul style="list-style-type: none"> • The original moderation sample must be sent for review. • The sample must be despatched within three working days of receiving confirmation from the awarding body that the request has been accepted.
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Receive outcome of review	<ul style="list-style-type: none"> • You will be notified of the outcome. • Feedback will normally be provided.
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Why is the original moderation sample required?

The process requires the second moderator to review the work of the first moderator. The second moderator considers the marks awarded and any annotations made by the first moderator to establish whether he/she applied the assessment criteria correctly.

The sample of work submitted for review must have been stored securely. If there is evidence that work has been returned to candidates the enquiry will be cancelled.

What will happen if the centre fails to despatch the sample within three working days?

The outcome of the enquiry may be delayed or the enquiry may be cancelled.

12 Controlled assessment: other issues

What happens if, after submission, it is discovered that the wrong task was given to candidates?

The centre **must** submit an application for special consideration. Awarding bodies 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. Centres **must** therefore, take great care to ensure that they give candidates the correct task for the year of submission. **See section 3 for further information.**

Can excluded pupils, private candidates and those who do not attend school for whatever reason do controlled assessment?

You should refer to the relevant specification and/or subject-specific guidance in the first instance. Some specifications will not be available to candidates outside mainstream education because of the specific nature of the controlled assessment. Where the specification is available to those outside of mainstream education, the centre which makes the entry for the controlled assessment unit(s)/component(s) must arrange for supervision, authentication and marking.

What happens if a candidate moves to a different centre during the course?

It may be possible to help candidates who move centres during the course. Possible solutions depend on the stage at which the move takes place. The relevant awarding body should be contacted at the earliest opportunity for advice about individual cases.