



Parklands High school

Policy for the Management of Controlled assessments

The purpose of the document is to help staff identify their responsibilities in planning and managing controlled assessment alongside other colleagues. It shows how responsibilities within GCSEs are allocated to colleagues such as teachers, assessors and the senior leadership team.

Controlled Assessment is defined as work assigned to and completed by a student during a course of study; it is evaluated as part of the student's final grade in the course and forms an element of the assessment procedures in the public examination system.

Outlining staff responsibilities - GCSE controlled assessment

Senior Leadership Team

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with Curriculum Leaders to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of key stage 4).
- Map overall resource management requirements for the year. As part of this resolve:
 - Clashes/ problems over the timing or operation of controlled assessments.
 - Issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- Ensure that all staff involved have a calendar of events
- Create, publish and regularly review an internal appeals policy for controlled assessments. (This is documented with the Centre Exams Policy and also in this document.)

Curriculum Leaders

- Decide on the awarding body and specification for a particular GCSE.
- Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirement in accordance with the awarding body specification.

- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that staff in their teaching area understand the regulations relevant to their subject during controlled assessments e.g. notes allowed, timings etc.
- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.
- Inform the examinations officer in advance of the dates for controlled assignments.

Teaching Staff

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the exams office details of all unit codes for controlled assessments.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the Centre.
- Ask the appropriate special educational needs coordinator (SENCO) for any assistance required for the administration and management of access arrangements.

Examinations Officer

- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute marksheets for teaching staff to use, and transmit information to awarding bodies before deadlines.
- On the rare occasions where controlled assessment cannot be conducted in the classroom arrange suitable accommodation where controlled assessment can be carried out, at the direction of the senior leadership team.

Special Educational Needs Coordinator/additional learning support

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

Disciplinary Procedures for Academic Maladministration and Misconduct

Academic misconduct is defined as any attempt by students to gain an unfair advantage in assessments. An allegation of academic misconduct may be made by a member of staff against a student.

Academic misconduct may include though not be limited to:

- Plagiarism**
Plagiarism is using others' ideas and words without clearly acknowledging the source of that information.
- Falsifying or fabricating data**
Falsification or fabrication of data consists of the misrepresentation of the results of experimental work or the presentation of fictitious results.
- Collusion**
Collusion involves two or more students working together, without the prior authorisation of the subject teacher, to produce the same piece of work, and then attempting to present this as entirely their own work.
- Copying**
Copying is when one student copies work from another student, with or without the knowledge of the first student.

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- e. **Bribery or attempted bribery**
Bribery is the paying, offering or attempted exchange of an inducement for information or material intended to advantage the recipient in an assessment.
- f. **Impersonation**
Impersonation involves one person undertaking an assessment on behalf of another. This may involve the purchase of assessment material or downloading it from a website and then attempting to present this as entirely their own work.
- g. Any other wilful deception in any element of an assessment.

A student who aids and abets a fellow student to commit academic misconduct shall be deemed to have committed academic misconduct and will be dealt with accordingly.

When a case of suspected academic misconduct has been identified the following actions will be completed.

- The teacher involved will collect the evidence and bring the matter to the attention of the Head of Centre and the Deputy Headteacher (Standards). They will examine the evidence, interview the student, consult with other staff and students as appropriate and establish the nature and extent of the misconduct.
- If, as a result of this investigation, the Deputy Headteacher and Head of Centre are satisfied that no academic misconduct has taken place, no further action will be taken against the student and the student and the subject teacher will be informed as soon as possible.
- Where the student admits to the academic misconduct, the Deputy Headteacher will re-interview the student in the presence of the Head of Centre, make a written record of the interview and request the student to sign the notes as representing an accurate record of the meeting. The Deputy Headteacher will decide the appropriate penalty in accordance with the Behaviour Policy, taking account of the extent of the misconduct, whether wilful deception was involved and the extent to which the assessment would have contributed to the final award.
- The Deputy Headteacher will ask the Parent(s)/carer(s) of the student to come to the school to discuss their child's misconduct and the penalty. The penalty for academic misconduct will include a disciplinary sanction and will require the student to repeat the assessment under the supervision of the Head of Centre within a specified timeframe. Failure to comply will result in a zero mark.

BCS

Malpractice is essentially any activity or practice which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and/or the validity of certificates. It covers any deliberate actions, neglect, default or other practice that compromises, or could compromise:

- The assessment process
- The integrity of a regulated qualification
- The validity of a result or certificate
- The reputation and credibility of BCS
- The qualification or the wider qualifications community.

Malpractice may include a range of issues from the failure to maintain appropriate records or

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systems to the deliberate falsification of records in order to claim certificates.

Definition of Maladministration

Maladministration is essentially any activity or practice which results in non-compliance with administrative regulations and requirements and includes the application of persistent mistakes or poor administration (e.g. within a centre, inappropriate learner records).

Examples of maladministration

The categories listed below are examples of maladministration. Please note that these examples are not exhaustive and are only intended as guidance on our definition of maladministration:

- Persistent failure to adhere to BCS' learner registration and certification procedures.
- Persistent failure to adhere to BCS' centre recognition and/or qualification requirements and/or associated actions assigned to the centre
- Late learner registrations (both infrequent and persistent)
- Unreasonable delays in responding to requests and/or communications from BCS
- Inaccurate claim for certificates
- Failure to maintain appropriate auditable records, e.g. certification claims and/or forgery of evidence withholding of information, by deliberate act or omission, which is required to assure BCS of the centre's and associated third parties' ability to deliver qualifications appropriately
- Misuse of BCS logo and trademarks or misrepresentation of a centre's relationship with BCS and/or its recognition and approval status with BCS
- Failure to adhere to, or to circumnavigate, the requirements of BCS' Reasonable Adjustments and Special Considerations Policy.

Examples of malpractice

The categories listed below are examples of malpractice. Please note that these examples are not exhaustive and are only intended as guidance on BCS' definition of malpractice:

- Persistent instances of maladministration within the centre following notification or warning, or reasonably to have known about it and continued with it.
- Denial of access to premises, records, information, learners and staff to any authorised BCS representative and/or the regulatory authorities
- Failure to carry out invigilation, internal assessment, internal moderation or internal or verification in accordance with BCS requirements
- Deliberate failure to adhere to BCS learner registration and certification procedures.
- Deliberate failure to continually adhere to our centre recognition and/or qualification approval requirements or actions assigned to centres
- Deliberate failure to maintain appropriate auditable records, e.g. examination registration/certification claims and/or forgery of evidence
- Fraudulent claim for certificates
- The unauthorised use of inappropriate materials / equipment in assessment settings (e.g. mobile phones)
- Intentional withholding of information from BCS which is critical to maintaining the rigour of quality assurance and standards of qualifications
- Deliberate misuse of BCS logo and trademarks or misrepresentation of a centre's relationship with BCS and/or its recognition and approval status with BCS
- Collusion or permitting collusion in exams/assessments
- Learners still working towards qualification after certification claims have been made
- Deliberate contravention by our a centre and/or its learners of the assessment arrangements we specify for our qualifications
- A loss, theft of, or a breach of confidentiality in, any assessment materials

- Plagiarism by learners/staff
- Copying from another candidate (including using ICT to do so) unauthorised amendment, copying or distributing of exam/assessment papers/materials
- Inappropriate assistance to learners (e.g. unfairly helping them to pass a unit or qualification)
- Deliberate submission of false information to gain a qualification or unit
- Deliberate failure to adhere to, or to circumnavigate, the requirements of our Reasonable Adjustments and Special Considerations Policy.

Process for making an allegation of malpractice or maladministration

Anybody who identifies or is made aware of suspected or actual cases of malpractice or maladministration at any time **must immediately notify BCS**.

All allegations must be made in writing/email and where possible include:

- Centre's or associated third parties name, address and number
- Learner's name and BCS registration number
- Centre/BCS personnel's details (name, job role) if they are involved in the case
- Details of the BCS course/qualification affected or nature of the service affected
- Nature of the suspected or actual malpractice and associated dates
- Details and outcome of any initial investigation carried out by the centre or anybody else involved in the case, including any mitigating circumstances
- Any supporting evidence

If a centre has conducted an initial investigation prior to formally notifying BCS, the centre should ensure that staff involved in the initial investigation are competent and have no personal interest in the outcome of the investigation. However, it is important to note that in all instances the centre must immediately notify BCS if malpractice is suspected or maladministration has occurred as BCS have a responsibility to the regulatory authorities to ensure that all investigations are carried out rigorously and effectively.

In all cases of suspected malpractice and maladministration reported to BCS we will protect the identity of the 'informant' in accordance with our duty of confidentiality and/or any other legal duty.

Confidentiality and whistle blowing

Sometimes a person making an allegation of malpractice or maladministration may wish to remain anonymous. It is preferable to reveal identity and contact details to BCS. If there are concerns about possible adverse consequences a request to BCS can be made not to divulge your identity. BCS are not obliged (as recommended by the regulator Ofqual) to disclose your personal information if to do so would be a breach of confidentiality and/or any other legal duty. Whilst BCS is prepared to investigate issues which are reported to us anonymously and/or by whistleblowers¹ BCS shall always try to confirm an allegation by means of a separate investigation before taking up the matter with those the complaint/allegation relates.

Responsibility for the investigation

In accordance with regulatory requirements all suspected cases of maladministration and malpractice will be examined promptly by BCS to establish if malpractice or maladministration has occurred and will take all reasonable steps to prevent any adverse effect from occurring as defined by the regulator Ofqual.

All suspected cases of malpractice and maladministration will be fully investigated and receipt will be acknowledged within 2 working days.

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The Service Delivery Manager or Service Assessment Team Leader will be responsible for ensuring the investigation is carried out in a prompt and effective manner and in accordance with the procedures in this policy and will allocate a relevant member of staff to lead the investigation and establish whether or not the malpractice or maladministration has occurred, and review any supporting evidence received or gathered by BCS.

At all times BCS will ensure that personnel assigned to the investigation have the appropriate level of training and competence and that they have had no previous involvement or personal interest in the matter.

Notifying relevant parties

In all cases of suspected or actual malpractice, BCS will notify, where appropriate, the Head of a Centre involved in the allegation that we'll be investigating the matter and/or in the case of learner malpractice, we may ask your centre to investigate the issue in liaison with our own personnel – in doing so we may withhold details of the person making the allegation if to do so would breach a duty of confidentiality or any other legal duty.

Where applicable, our Service Delivery Manager will inform the appropriate regulatory authorities if we believe there has been an incident of malpractice or maladministration which could either invalidate the award of a qualification or if it could affect another awarding organisation.

Where the allegation may affect another awarding organisation and their provision we will also inform them in accordance with the regulatory requirements and obligations imposed on BCS by the regulator Ofqual. If we do not know the details of organisations that might be affected we will ask Ofqual to help us identify relevant parties that should be informed.

Investigation timelines and summary process

BCS aim to action and resolve all stages of the investigation within 10 working days of receipt of the allegation. Please note that in some cases the investigation may take longer; for example, if a centre visit is required. In such instances, we'll advise all parties concerned of the likely revised timescale.

Appeals Procedure

This school is committed to ensuring that whenever its teachers assess students' work, this is done fairly, consistently and in accordance with the specification for the qualification concerned. However, to meet the requirements of the examination boards an internal appeals procedure is available

An appeal may only be made against the process that produced the grade or mark to be submitted to the examination board and not against the mark or grade, i.e. where the student or his parents believe that the procedures for managing, marking, moderating and standardising coursework have not been carried out within the School Procedures. Internal marking, moderation and standardisation of coursework will always be conducted by staff who have appropriate knowledge, understanding and skills, and who have been trained in this activity.

The marks submitted to the Examination Boards are subject to further external moderation and standardisation procedures and the final mark is decided by the Chief Moderator for each subject area.

The Internal Appeals Procedure

If a student believes that his work has not been treated in accordance with the procedures outlined above he may make use of the Internal Appeals Procedure.

- Appeals should be made as soon as possible, and must be made at least two weeks before the end of the last externally assessed paper in that examinations series.
- Appeals should be made in writing to the Headteacher, who will investigate the appeal. If, for any reason, the Headteacher is not able to conduct the investigation he may appoint a Deputy Headteacher providing they are not working within the departmental area involved in the appeal.
- The Headteacher or Deputy Headteacher (appointed in the place of the Headteacher) will decide whether the process used for the internal assessment conformed to the internal regulations, the requirements of the awarding body and the examinations code of practice of JCQ. This will be done before the end of the current examination series
- If the appeal results in a change in the mark awarded to the student or his fellow students then the relevant examination board will be informed of the change and the reasons for it.
- The appellant will be informed in writing of the outcome of the appeal, including any correspondence with the examination board, any changes made to the assessment of the student's work, and any changes made to improve matters in future at the School.

After a student's work has been assessed and moderated internally it is moderated by the examinations board to ensure consistency between centres. Such moderation can change the marks awarded for internally assessed work, this is outside the control of the school and is not covered by the Internal Appeals Procedure

If a student has concerns about external moderation, he should ask the Examinations Officer for a copy of the appeals procedure of the relevant examinations board