
Strathearn School

Controlled Assessment Policy and Procedures



Version History:

| Date | Review Date |
|--------------|--|
| January 2019 | Jan 2022 |
| Jan 2022 | January 2025 |
| November 24 | Amended and reviewed to reflect JCQ Guidance |
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CONTROLLED ASSESSMENT PROCEDURES

1. Rationale:

The regulations for Controlled Assessment modules at GCSE, AS and A2 level are governed by the Joint Council for Qualifications (JCQ). JCQ regulations are updated annually and so the School must regularly review its procedures to ensure compliance. The relevant JCQ regulations can be found in the JCQ document 'Instructions for conducting non-examination assessments', published on their website (https://www.icq.org.uk/wp-content/uploads/2022/01/Instructions_NEA_21-22_FINAL.pdf).

This document sets out the general procedures which form the foundation of our practice in Strathearn School.

Please note that these procedures also apply in any subject which maintains a 'coursework' module.

2. Definition:

Controlled Assessment is a form of internal assessment where the control levels (High, Medium, Low) are set for each stage of the assessment process: task setting, task taking and task marking. In some subjects, work will be marked by the Awarding Body. For most subjects, however, work will be marked by the centre and moderated by the Awarding Body.

3. Managing Controlled Assessment

| Management Issue | Solution |
|---------------------------|--|
| Timing | <ul style="list-style-type: none">• Schedule for Controlled Assessment• Controlled Assessment should be completed within allocated calendar periods |
| Accommodation / Resources | <ul style="list-style-type: none">• Prior Planning with VP/ School Services Co-ordinator to facilitate any necessary room / staffing changes |
| SEN Pupils | <ul style="list-style-type: none">• HOD/TiC, Subject Teacher meet with Learning Support Co-ordinator/Assist. LSC to manage access arrangements for relevant pupils |

| | |
|--------------------------|--|
| Absence | <ul style="list-style-type: none"> Contingency arrangements should be established Pupils should be accommodated (if possible) in class If catch-up cannot be accommodated with the subject Department, use should be made of the after-school catch-up sessions run weekly by the Sixth Form Study Supervisor If absence is a persistent problem with a particular pupil, the subject teacher should inform HOD/TIC, who may then refer on to the VP |
| Adherence to rules | <ul style="list-style-type: none"> Staff should be familiar with the contents of the JCQ publication “Instructions for conducting non examination assessments” Each subject Department which has a CA element at GCSE/AS/A2 will have a Departmental CA Policy, reflecting the contents of this document and the particularities of CA in their subject |
| Internal Appeals Process | Internal Appeals Policy established and issued to staff and pupils |

4. Roles and Responsibilities:

The Principal will:

- Ensure that arrangements are in place for Controlled Assessment in accordance with the instructions issued by the Joint Council for Qualifications (JCQ)

The Vice Principal will:

- Co-ordinate with Heads of Department/Teachers in Charge to compile a schedule for Controlled Assessment;
- Liaise with the School Services Coordinator to map overall resource management requirements for the year and especially clashes/problems over timing and issues arising from the need for particular facilities (IT suites etc.);
- Ensure that all relevant staff, pupils and parents have a schedule of the Controlled Assessments for the year;
- Distribute the JCQ regulations to relevant staff, pupils and parents, and provide timely communication of any changes to procedures published by JCQ;
- Ensure that staff, pupils and parents have easy access to this policy document.

Subject Leaders (Heads of Department/Teachers in Charge) will ensure:

- That the subject department has a Controlled Assessment policy which reflects both the procedures outlined in this document, and the particular requirements for Controlled Assessment within the subject;
- The safe and secure conduct of Controlled Assessment in their subject and comply with JCQ guidelines and Awarding Bodies’ subject-specific instructions;
- That all marking is standardised;
- That all teachers in each department understand their responsibilities with regard to Controlled Assessment and are familiar with the contents of the JCQ publication “Instructions for conducting non examination assessments”;
- That individual teachers understand the requirements of the Awarding Body’s

specification, particularly the level of control required, and are familiar with the relevant teachers' notes, and any other subject specific instructions;

- That all materials, including any drafts, are stored securely at all times;
- That support staff are given sufficient notice in which to order and prepare materials needed for assessments;
- That the Learning Support Co-ordinator/Assist. LSC is aware of any special/access arrangements required;
- That where videos or photographs/images of the candidate/any pupil are to be included as part of the Controlled Assessment, written parental consent is obtained.

Subject teachers will:

- Comply with the general guidelines contained in the JCQ booklet "Instructions for conducting non examination assessments";
- Comply with the Awarding Body specification for conducting Controlled Assessment, including any subject specific instructions, teachers' notes or additional information on the Awarding Body's website;
- Obtain any confidential materials/ tasks set by the Awarding Bodies in sufficient time to prepare for the assessments and ensure that such materials, together with pupils' work, are stored securely at all times;
- Supervise assessments (at the specified level of control) and undertake the tasks required under the regulations; only providing 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 to the Examinations Officer by the date required, keeping a record of the marks awarded;
- Retain candidates' work securely between assessment sessions (if more than one);
- Retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain the candidate's work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.

The Examinations Officer will:

- Enter students for individual units, whether assessed by Controlled Assessment, external examination or on-screen test, before the deadline for final entries;
- On the few occasions where Controlled Assessment cannot be conducted in the classroom, arrange suitable accommodation where Controlled Assessment can be carried out, at the direction of the Vice Principal.

The Learning Support Co-ordinator/Assist. LSC will:

- Ensure access arrangements for Controlled Assessments have been communicated to relevant staff;
- Work with staff to ensure requirements for pupil support are met.

5. Plagiarism

(See the JCQ publication 'Plagiarism in Assessments: Guidance for Teachers/Assessors' <file:///N:/Downloads/Plagiarism-in-Assessments.pdf>)

Plagiarism is defined by JCQ as “unacknowledged copying from or reproduction of published sources or incomplete referencing.”

When conducting a Controlled Assessment task, teachers have a responsibility to:

- Make pupils aware of the issue of plagiarism;
- Teach correct referencing convention, as appropriate to their subject area, and in line with JCQ guidance (see document named above);
- Be alert to the issue of plagiarism when supervising, marking and moderating pupil work.

Teachers must not accept work which is not the candidate's own.

If plagiarism is discovered prior to the signing of a Declaration of Authentication the incident should be reported to the Head of Department/Teacher in Charge and, through him/her, to the Vice Principal (Teaching and Learning). The incident can then be investigated and dealt with in accordance with the School's Positive Behaviour Policy.

If plagiarism is detected, and the Declaration of Authentication has been signed, the case must be reported to the Awarding Body. The procedure is detailed in 'JCQ Suspected Malpractice Policies and Procedures' (https://www.icq.org.uk/wp-content/uploads/2021/09/Malpractice_21-22_FINAL.pdf).

6. Artificial Intelligence (AI)

JCQ have produced guidance for teachers on preventing pupil malpractice through the use of AI in Non Examinations Components (Controlled Assessment). This guidance document is called 'AI Use in Assessment – Protecting the Integrity of Qualifications' <https://www.icq.org.uk/exams-office/malpractice/artificial-intelligence/>.

Ultimately, students must be able to demonstrate that the final submission is the product of their own independent work and thinking.

AI misuse is where a student has used one or more AI tools but has not appropriately acknowledged this use and has submitted work for assessment when it is not their own. Examples of AI misuse include, but are not limited to, the following:

- Copying or paraphrasing sections of AI-generated content so that the work submitted for assessment is no longer the student's own;
- Copying or paraphrasing whole responses of AI-generated content;
- Using AI to complete parts of the assessment so that the work does not reflect the

student's own work, analysis, evaluation or calculations;

- Failing to acknowledge use of AI tools when they have been used as a source of information;
- Incomplete or poor acknowledgement of AI tools;
- Submitting work with intentionally incomplete or misleading references or bibliographies.

Staff in those departments where there is a Controlled Assessment element within GCSE/AS/A2 qualifications will discuss and agree their approach to managing students' use of AI in such tasks, and will address the issue directly with pupils.

Strathearn School will:

- Ensure that students understand the importance of submitting their own independent work (a result of their own efforts, independent research, etc) for assessments and stress to them and to their parents/carers the risks of malpractice;
- Ensure that subject department policies include clear guidance on how students should reference appropriately (including websites);
- Ensure that subject department policies include clear guidance on how students should acknowledge any use of AI to avoid misuse;
- Ensure that teachers and assessors are familiar with AI tools, their risks and AI detection tools;
- Ensure that, where students are using word processors or computers to complete assessments, teachers and relevant centre staff are aware of how to disable improper internet/AI access where this is prohibited;
- Include a statement about the misuse of AI in the 6th Form Agreement signed by all students entering 6th Form;
- Ensure that each student is issued with a copy of, and understands, the appropriate JCQ Information for Candidates (www.jcq.org.uk/exams-office/information-for-candidates-documents);
- Reinforce to students the significance of their (electronic) declaration where they confirm the work they are submitting is their own, the consequences of a false declaration, and that they have understood and followed the requirements for the subject;
- Remind students that awarding organisation staff, examiners and moderators have established procedures for reporting and investigating malpractice); and
- Ensure that teachers are aware they must not use AI tools as the sole marker of student work.

Subject Departments will take steps to ensure that they can authenticate students' work. Such steps may include:

- Setting reasonable deadlines for submission of work and providing reminders;
- Where appropriate, allocating time for sufficient portions of work to be done in class under direct supervision to allow the teacher to authenticate each student's whole work with confidence;
- Examining intermediate stages in the production of work in order to ensure that work is underway in a planned and timely manner and that work submitted represents a natural continuation of earlier stages;

- Introducing classroom activities that use the level of knowledge/understanding achieved during the course thereby making the teacher confident that the student understands the material;
- Considering whether it is appropriate and helpful to engage students in a short verbal discussion about their work to ascertain that they understand it and that it reflects their own independent work;
- Not accepting, without further investigation, work which staff suspect has been taken from AI tools without proper acknowledgement or is otherwise plagiarised;
- Issuing tasks for centre-devised assignments which are, wherever possible, topical, current and specific, and require the creation of content which is less likely to be accessible to AI models trained using historic data.

Teachers must not accept work which is not the candidate's own.

If plagiarism is discovered prior to the signing of a Declaration of Authentication the incident should be reported to the Head of Department/Teacher in Charge and, through him/her, to the Vice Principal (Teaching and Learning). The incident can then be investigated and dealt with in accordance with the School's Positive Behaviour Policy.

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7. Internal Appeals Procedure for Controlled Assessment

Strathearn School is committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the Awarding Body's specification and subject-specific associated documents.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who are aware of all relevant regulations, policies and procedures. Strathearn School is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the Awarding Body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

1. Strathearn School will ensure that candidates are informed of their centre assessed marks so that they may request a review of the School's procedures before marks are submitted to the awarding body.
2. Strathearn School will inform candidates that they may request copies of relevant materials (i.e. the subject department's Controlled Assessment Policy, any records directly relating to the marking and moderation of the work in question) to assist

them in considering whether to request a review of the centre's procedures in respect of the assessment.

3. Strathearn School will, having received a request for materials, promptly make them available to the candidate. This will either be the originals viewed under supervised conditions or copies.
4. Strathearn School will provide candidates with sufficient time, normally at least five working days, to allow them to review copies of materials and reach a decision.
5. Strathearn School will provide a clear deadline for candidates to submit a request for a review of the centre's procedures. Requests will not be accepted after this deadline. Requests **must** be made in writing and candidates **must** explain on what grounds they wish to request a review.
6. Strathearn School will allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the Awarding Body's deadline for the submission of marks.
7. Strathearn School will inform the candidate in writing of the outcome of the review of the School's procedures.
8. The outcome of the review of the School's procedures will be made known to the Principal. A written record of the review will be kept and made available to the awarding body upon request.

The moderation process carried out by the Awarding Bodies may result in a mark change, either upwards or downwards, even after an internal review. The internal review process is in place to ensure consistency of marking within the subject department, whereas moderation by the Awarding Body ensures that the School's marking is in line with national standards. The mark submitted to the Awarding Body is subject to change and should therefore be considered provisional.

Notification of Controlled Assessment results

Teachers will inform students of the results in class and students are permitted to see the marking and mark sheets for each piece of Controlled Assessment. Marks should be disclosed to pupils at least two weeks before the dispatch of the Controlled Assessment report to the Awarding Body.

Notification of Appeal by student

Students will then have a period of one week from the date the mark is disclosed during which they can make an appeal about the procedures used to award a Controlled Assessment mark. This ensures that there will be a window of at least one week for the internal appeals procedure to take place in advance of the dispatch of the Controlled Assessment report.

Students must fill in the 'Student Appeal Application' form and must submit it to the Vice Principal (Teaching and Learning).

Other relevant documents:

Strathearn School Positive Behaviour Policy

Strathearn School Departmental Controlled Assessment Policies

JCQ – Information for candidates – non examination assessments

JCQ - Instructions for conducting non-examination assessments

JCQ – Plagiarism in Assessments – Guidance for Teachers/Assessors

JCQ - Suspected Malpractice Policies and Procedures

JCQ – AI Use in Assessments – Protecting the Integrity of Qualifications

Appeals Procedure Summary

1. Any Appeal will be delivered to the Vice Principal (Teaching and Learning) by a pupil, or the parent of a pupil before the published deadline, using the proforma contained in this document.
2. The Vice Principal (Teaching and Learning) has been appointed by the Principal to manage internal appeals. He/she will inform the Principal of the existence of an appeal.
3. The Vice Principal (Teaching and Learning) will convene an appeals panel to meet which will be not less than 3 people and will include the class teacher involved and the Head of Department/Teacher in Charge.
4. The candidate, with or without the assistance of a representative (parent/guardian/friend), may present their case to the panel either verbally, or in writing via the application form provided.
5. Candidates are permitted access to the following information:
 - *The marks awarded to them by the centre for this piece of work;*
 - *All comments recorded by the centre relating to their internally assessed work;*
 - *Any correspondence between the centre and the Awarding Body relating to their internally assessed work;*
 - *Information, if available at the time of the appeal, as to whether their work was sampled by the Awarding Body;*
 - *The moderated mark given to the work by the Awarding Body, if known;*
 - *Relevant Awarding Body procedures for the conduct of internal assessments.*
6. A written record and minutes of every discussion pertaining to the appeal will be kept on file.
7. Students will be informed in writing of the result of the appeal, including the reasons for the outcome and details of any action taken.

Appeals Panel Procedure

The purpose of the panel meeting is to establish whether or not the proper procedures for conducting the Controlled Assessment task, the marking procedures and moderation procedures have been put into place, and to assess whether the mark produced was a fair and accurate representation of the application of these procedures.

The following procedure will be observed at the meeting:

1. The Chair will introduce the meeting by describing the process which will be followed.
2. The appellant's case will be put to the panel and any witnesses called as appropriate.
3. The panel will have the opportunity to ask questions of the appellant and any witnesses (if present).
4. The teacher/representative of the teacher will be allowed to put his/her case, calling upon any witnesses as appropriate.
5. The teacher will spell out the following information:
 - How the Controlled Assessment task was conducted;
 - The process followed for marking the Controlled Assessment task;
 - Any guidance/training has the teacher received to mark this Controlled Assessment;
 - What procedures were put into place to moderate and standardise the student's work within the class and across the department.
6. The panel will have the opportunity to ask questions of the teacher and any witnesses.
7. The appellant and any witnesses, if present, will leave the meeting and will be informed of the panel's decision in writing within 5 working days.
8. The panel will deliberate in private and will either confirm the original decision or uphold the appeal. If the appeal is upheld, the department involved must modify the candidate's mark.
9. Full details of the appeal will be held on file by the Examinations Officer and by the Head of Department concerned, and are to be made available to the Awarding Body on request.

STUDENT APPEAL APPLICATION

Student Name: _____

Subject: _____ Level: GCSE / AS / A2

Assessing Teacher: _____

Description of Controlled Assessment piece:

Assessed mark by teacher _____ out of _____

Why are you appealing this mark?

Signed _____ (candidate)

Signed _____ (parent) Dated: _____

Office use only

Date appeal received _____ Outcome required by: _____

Date First Panel Meeting _____ Outcome: _____