



Joint Council  
for Qualifications

**GCSE and Functional Skills specifications, and  
Principal Learning units within Diploma  
Qualifications**

**Instructions for conducting controlled assessments**

**1 September 2011 to 31 August 2012**

**(These instructions must be forwarded electronically to each  
subject leader within the centre)**

Produced on behalf of:



**These instructions are additional to any guidelines or regulations an individual awarding body may issue. If there is conflict between the awarding body's guidelines or regulations and these Instructions, the awarding body and subject-specific instructions shall prevail.**

**The head of centre is responsible for ensuring that controlled assessment work is conducted in accordance with these Instructions and any subject-specific instructions issued by an awarding body.**

Changes made to the contents of this booklet since the previous version (1 September 2010 to 31 August 2011) are highlighted for easy identification.

However, examination officers, subject leaders and senior leadership teams **must** familiarise themselves with the entire contents of this booklet.

Changes have been made to this year's booklet in order to improve clarity or to provide additional advice to centres.

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## Foreword

In October 2005, the Qualifications and Curriculum Authority (QCA) published a report which raised a number of issues regarding coursework in GCSE and GCE qualifications. As a result, controls on coursework were tightened. The Joint Council for Qualifications in autumn 2006 responded by producing guidance for schools and colleges – *Instructions for conducting coursework*.

As part of the 2007 review of GCSE qualification and subject criteria, QCA commissioned a report on internal assessment in GCSE specifications. The report which was published in June 2007 recommended that coursework should be replaced in the majority of subjects by controlled assessment, and specifications which included controlled assessment were introduced for first teaching in September 2009. In response, the Joint Council for Qualifications in autumn 2009 produced guidance on conducting controlled assessments.

Controlled assessment is a form of internal assessment where the control levels are set for each stage of the assessment process: task setting, task taking and task marking. 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.

**These instructions, which are applicable from 1 September 2011 to 31 August 2012, apply to controlled assessment in GCSE and Functional Skills specifications, and Principal Learning units in the Diploma.**

It is the responsibility of each subject leader and exams office personnel within the centre to familiarise themselves with the content of this booklet.

## Introduction

In these Instructions a centre is a school, college, or other educational establishment, a training organisation, or a large or small company, approved and registered by one or more of the awarding bodies for the registration or entry of candidates to its examinations/assessments and for the conduct of those examinations/assessments. A centre may be a single agency, or a 'controlling' agency with one or more associated sites, called satellites, which may include franchise agreements.

In the context of the Diploma, a consortium is a group of centres and other organisations (including employers and training providers) working together locally to offer a line of learning. Each consortium was approved through the original DCSF Gateway process (see **section 11, page 15**, in this document). The term *consortium* is also used to denote a group of two or more centres which have joint teaching and assessment arrangements for a GCSE (or GCE) subject (see **section 10, page 14**). For the purposes of this document, the term centre includes consortium and the terms awarding body and component awarding body (CAB) are interchangeable unless otherwise stated.

The head of centre is the head of a school, the principal of a college or the chief officer of an institution which is approved by one or more of the awarding bodies as an examination/assessment centre. The head of centre is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to the JCQ instructions and the qualification specifications issued by the awarding bodies.

These *Instructions* should be read in conjunction with the JCQ publication *General Regulations for Approved Centres, 1 September 2011 to 31 August 2012*, which brings together the terms and conditions between the JCQ awarding bodies and schools, colleges and other educational institutions registered to enter candidates for general and vocational qualifications. This publication may be found on the JCQ website: [http://www.jcq.org.uk/exams\\_office/general\\_regulations/](http://www.jcq.org.uk/exams_office/general_regulations/).

Awarding bodies may issue supplementary instructions which are qualification specific, to which you **must** also refer.

The JCQ awarding bodies have agreed regulations and procedures under which you may make access arrangements for candidates registered/entered for general and vocational qualifications. These are set out in the JCQ publication *Access Arrangements, Reasonable Adjustments and Special Consideration, 1 September 2011 to 31 August 2012* ([http://www.jcq.org.uk/exams\\_office/access-arrangements/](http://www.jcq.org.uk/exams_office/access-arrangements/)). You **must** follow those regulations and procedures carefully.

You should send all correspondence relating to the assessment directly to the awarding body concerned and not to the examiner/moderator (unless the awarding body directs otherwise).

You are warned that any breach of these instructions can constitute malpractice as defined in the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures 1 September 2011 to 31 August 2012* ([http://www.jcq.org.uk/exams\\_office/malpractice/](http://www.jcq.org.uk/exams_office/malpractice/)) to which you should refer for further information.

## 1. What is Controlled Assessment?

- 1.1 Controlled assessment is a form of internal assessment where the control levels are set for each stage of the assessment process: task setting; task taking and task marking.
- 1.2 Controlled assessment has replaced coursework in new GCSE specifications. It also applies to internally-assessed Functional Skills and Principal Learning units.
- 1.3 Controlled assessment measures subject specific skills that may not necessarily be tested by external assessment.
- 1.4 Depending on the level of control defined within the specification, controlled assessments may take place for example:
  - in a normal timetabled lesson or other defined session under supervised conditions;
  - entirely within the centre under supervision with controlled access to resources; or
  - outside the centre and involve research with limited supervision.
- 1.5 Controlled assessments may take place at any time during the course. However, centres **must** ensure that the controlled assessment task issued to candidates is appropriate to the year in which the assessment will be submitted to the awarding body.
- 1.6 Since September 2010 there has been a requirement from JCQ for centres to have in place a policy with regard to the management of controlled assessments. JCQ centre inspectors will check with the examinations officer that such a policy has been put in place within the centre. The policy should cover procedures for **planning and managing controlled assessments**, including **staff responsibilities** and **risk management**.

## 2. Keeping materials secure

### 2.1 *Assessment tasks*

- 2.1.1 Each awarding body will provide subject specific information on the security levels for controlled assessments. This information will typically be found within the teachers' notes or guidance for each specification.
- 2.1.2 Controlled assessment materials will normally be made available to centres in one of the following ways:
  - as electronic files to download from an awarding body's secure extranet site;
  - on a password protected CD which will, in most cases, be sent to the exams office; or
  - in a printed form.
- 2.1.3 **The examinations officer and heads of subject will need to determine appropriate security arrangements and how these are to be applied within the centre.**

Centres **must** ensure that all assessment materials, including mark schemes, issued by an awarding body, are kept secure **throughout** the assessment process.

## 2.2 *Candidates' work for assessment*

2.2.1 **Candidates' work for assessment must be stored securely within the centre.** Work may be stored either by subject departments or the exams office. **Secure storage is defined as a secure locked steel cabinet, a metal cabinet or similar cabinet.** Work produced over several sessions, including, if appropriate, record folders/diaries **must** be collected at the end of each session and stored securely. Work produced electronically **must** be saved securely to ensure that it cannot be amended between sessions. Work stored on memory sticks should also be collected in at the end of each session. Where there is a practical need, secure storage may be defined as a classroom, a studio or a workshop which is locked from the end of one session to the start of the next. This alternative may be implemented on practical grounds given the nature of the assessment, the need to allow work to dry overnight, or the size or delicacy of some items of work.

It is permissible for teachers to take work home to mark, provided that they take sensible precautions regarding its security.

2.2.2 Candidates' centre assessed marks must be submitted to the awarding body by the date required. Candidates' work for moderation purposes or external marking must be despatched as directed and work not required for moderation purposes must be stored securely until all possible post-results services have been exhausted. **Unless stated otherwise, work may be returned to candidates after the deadline for enquiries about results for the relevant series has passed, or once an enquiry about results and any subsequent appeal has been exhausted.**

## 3. Task setting

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

3.2 Where tasks are set by the awarding body, guidance will be provided, where appropriate, to help teachers contextualise the task to best suit their centre-specific circumstances, together with the needs and interests of their students, and to help them to apply the marking criteria.

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

3.3 The centre should ensure that candidates are clear about the assessment criteria which they are expected to meet in their controlled assessments. Specifications usually explain the criteria in detail, but candidates may require some further explanation or interpretation before they fully understand the nature of the skills which they are expected to demonstrate. Any explanation or interpretation given by teaching staff **must** be general and not specific to a candidate's work.

## 4. Task taking

### 4.1 *Supervision*

4.1.1 Supervision can be:

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

as detailed in the specification.

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

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

Examination conditions, the use of external invigilators and the displaying of the relevant JCQ Notices **are not** required. However, teachers **must** ensure that any display material in the teaching environment which might provide assistance is removed or covered.

Centres may choose whether or not to use external invigilators, but in any case the supervisor **must** be aware of the conditions under which the task may be taken and the regulations in relation to the materials candidates may or may not use, as well as being able to confirm the identity of the candidates.

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

**It is not necessary for all candidates at a centre to write up controlled assessments at the same time. Centres may schedule a number of assessment sessions to accommodate cohort size and availability.** However, the centre should record the date and time of the assessment, the name of the supervisor and keep a log of any incidents which occur during the course of the assessment. Additionally, it is recommended that the centre records which candidates were present for the assessment, as well as those who were absent.

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

- all candidates participate in the assessment;
- plagiarism does not take place;
- sources used by a candidate are clearly recorded;
- each candidate's preparation for the final production of the work is his/her own.

4.1.4 Under **limited supervision** the requirements are clearly specified by the awarding body and work may be completed without direct supervision. Research or data collection may take place outside of the classroom.

4.1.5 Careful reference **must** be made to the relevant awarding body's specification which may set certain parameters for teaching staff where limited supervision is to be applied. For example, a specification may require teachers during the preparation stage of an assignment to advise candidates on:

- the focus of the investigation;
- sources of information;
- relevance of materials/concepts;
- document structure (chapter titles and content);
- techniques of data collection;
- techniques of data presentation;
- skills of analysis and evaluation;
- health and safety matters.

## 4.2 Resources

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

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

4.2.3 If candidates use the same wording as a published source they must place quotation marks around the passage and state where it came from. Candidates **must** give detailed references even where they paraphrase the original material. A reference from a printed book or journal should show the name of the author, the year of publication and the page number, preferably in a bibliography. For example: (Morrison, 2000, page 29). For material taken from the internet, any reference must show the precise web page, not the search engine used to locate it. This can be copied from the address line, e.g.  
<http://www.bbc.co.uk/schools/16/sosteacher/history/40766.shtml>

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

(The JCQ has written a document *Information for candidates* which details what candidates must and must not do when completing controlled assessments, see **Appendix 2, page 23** of this booklet.)

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

### 4.3 *Completing the task*

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

### 4.4 *Collaboration*

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

### 4.5 *Feedback*

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

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

4.5.2 When marking the work, teachers/assessors **must not** give credit in regard to any additional assistance given to candidates beyond that which is described in the specification and **must** give details of any additional assistance on the appropriate record form(s). Examples would include:

- having reviewed the candidate's work giving (either to individual candidates or to groups) detailed advice and suggestions as to how the work may be improved in order to meet the assessment criteria;
- giving detailed indications of errors or omissions which leave the candidate no opportunity for individual initiative;
- giving advice on specific improvements needed to meet the criteria;
- providing writing frames specific to the task (e.g. outlines, paragraph headings or section headings);
- intervening personally to improve the presentation or content of the work.

Before giving additional assistance beyond that which is described in the specification, teachers should ensure that there is provision to record this assistance and take account of it in the marking.

## 4.6 Presentation

4.6.1 Written material may be handwritten using black ink or, where possible, word processed.

**Computers may be used unless stated otherwise in an awarding body's specification.** There is **not** a requirement for the centre to adhere to the regulations on the use of word processors as detailed in **section 8** of the JCQ publication *Instructions for conducting examinations*. Unless an awarding body's specification says otherwise, candidates may use the spell check facility on a computer.

**Where candidates use their own laptops the centre must establish and implement a process for carrying out additional checks on the work. This is necessary in order for teaching staff to ensure that the work is the candidates' own and that all the necessary conditions have been followed.**

4.6.2 Where appropriate, work submitted may also include printouts/copies of presentations, charts, artefacts, photographs, letters, videos, recordings or transcripts of interviews, as well as witness statements from supervising teachers to record what a candidate has demonstrated. In the event that videos or photographs/images of candidates are included as evidence of individual participation or contribution, heads of subject **must** obtain informed consent from parents/carers/guardians.

4.6.3 Valuable illustrative materials should not normally be included with the work sent for moderation or external marking, but a note should be attached to the work confirming that the material was part of the original submission. Photographs of the material may be included if appropriate. If valuable or fragile illustrative materials have been sent for moderation or external marking, awarding bodies recommend that centres insure such material against loss or damage from the time of its despatch up to its return to the centre. **The awarding bodies accept no liability for the loss of, or damage to work that occurs during the moderation process or during despatch, transit or storage, or for problems that occur during the construction, submission and moderation of work in an electronic format.**

**NB Candidates should be advised not to include any items of real or sentimental value e.g. photographs, certificates.**

4.6.4 For moderation or external marking purposes, typed or written work should be submitted on appropriately sized paper in a plain cover or folder, **together** with the cover sheets provided by the awarding body. The cover or folder must be marked clearly with the candidate's name and number, the number of the centre, the specification title or code and the component/unit title or code. Bulky covers or folders must not be included. **If an assignment is word processed, the candidate must ensure that his/her name appears on each page as a header or footer.**

## 4.7 *Authentication Procedures*

- 4.7.1 The statutory regulations require **all candidates** to confirm that work they submit for assessment is their own. Each candidate is required to sign a declaration before submitting his/her work to his/her teacher/assessor for final assessment. This is to confirm that the work is that of the candidate alone and that any assistance given and/or sources used have been acknowledged. **Ensuring that candidates do so is the responsibility of the centre.** Centres should record marks of zero if candidates cannot confirm the authenticity of work submitted for assessment.
- 4.7.2 It is also a requirement of the statutory regulations that teachers/assessors confirm to the awarding body that all of the work submitted for assessment was completed under the required conditions and that they are satisfied the work is solely that of the individual candidate concerned. If they are unable to do so, the work should not be accepted for assessment. All teachers/assessors who have assessed the work of any candidate entered for each component must sign the declaration of authentication. Failure to sign the authentication statement may delay the processing of the candidate's results. **If, during the external moderation process, there is no evidence that the work has been properly authenticated, the awarding body will set the associated mark(s) awarded by the centre to zero.**
- 4.7.3 The teacher should be sufficiently aware of the candidate's standard and level of work to appreciate if the work submitted is beyond the talents of the candidate.
- 4.7.4 If teachers have reservations about signing the authentication statements, the following points of guidance should be followed:
- if it is believed that a candidate has received additional assistance and this is acceptable within the guidelines for the relevant specification, the teacher/assessor should award a mark which represents the candidate's unaided achievement. The authentication statement should be signed and information given on the relevant form;
  - if the teacher/assessor is unable to sign the authentication statement of a particular candidate, then the candidate's work cannot be accepted for assessment. A mark of zero should be recorded on the mark sheet or encoded on the EDI file;
  - if malpractice is suspected, the examinations officer should be consulted about the procedure to be followed. (See **section 6, page 11**).
- 4.7.5 The JCQ awarding bodies have produced a declaration of authentication for controlled assessments which centres may wish to use. (See **Appendix 1, page 22**).

## 5. Task marking

### 5.1 *Marking of controlled assessments*

5.1.1 In marking work, teachers should pay close attention to the requirements of the specification. Teachers should note that it is their responsibility to award marks for work in accordance with the marking criteria detailed in the awarding body's specification and subject-specific associated documents. Teachers must show clearly how the marks have been awarded in relation to these marking criteria. The centre's marks must reflect the relative attainment of all the candidates.

5.1.2 Where a teacher teaches his/her own child, the centre must declare the conflict of interest and send the marked work to the moderator whether it is part of the sample or not.

### 5.2 *Annotation*

5.2.1 Any guidance given in the awarding body's specification on providing evidence to support the marks awarded must be followed.

5.2.2 Subject to any further guidance contained in specifications, one of the following approaches should be adopted:

- summary comments either on the work (usually at the end) or on a cover sheet;
- key pieces of evidence flagged throughout the work by annotation either in the margin or in the text;
- a combination of the above.

5.2.3 Indications as to how marks have been awarded should:

- be clear and unambiguous;
- be appropriate to the nature and form of the work;
- facilitate the standardisation of marking within the centre;
- enable the moderator to check the application of the assessment criteria to the marking.

5.2.4 Where appropriate to the type of work, the evidence to support the marks awarded should:

- indicate where the assessment criteria have been met, e.g. by writing key phrases from the criteria (such as 'awareness of values', 'selects information', 'uses a variety of techniques') at the appropriate point in the work;
- indicate any planning and processing not undertaken individually, and provide details of any assistance or prompting given to the candidate.

5.2.5 Where a moderator cannot find evidence to justify the mark awarded to a candidate, the work may be returned to the centre for further explanation or the mark may be subject to adjustment.

### 5.3 *Internal standardisation*

5.3.1 Centres should use reference and archive materials (such as exemplar material provided by the awarding body or, where available, work in the centre from the previous year) to help set the standard of marking within the centre.

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

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

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

**Or** all the teachers responsible for marking a component exchange some marked work (preferably at a meeting led by the teacher in charge of internal standardisation) and compare their marking standards.

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

5.3.4 **Following completion of the marking and of internal standardisation, the work must be retained by the centre and not returned to the candidates until after the closing date for enquiries about results for the series concerned.**

5.3.5 Centres should retain evidence that internal standardisation has been carried out.

## 6. Candidate malpractice

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

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

These actions constitute malpractice, for which a penalty, (e.g. disqualification from the assessment) will be applied. **Teachers must inform candidates of the JCQ regulations concerning malpractice**, as detailed in the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*. This document can be found on the JCQ website: [http://www.jcq.org.uk/exams\\_office/malpractice/](http://www.jcq.org.uk/exams_office/malpractice/).

6.2 If irregularities in controlled assessments are discovered **prior** to the candidate signing the declaration of authentication this should be dealt with under the centre's internal procedures and need not be reported to the awarding body. Details of any work which is not the candidate's own **must** be recorded on the authentication form supplied by the awarding body or other appropriate place.

6.3 If irregularities in controlled assessments are identified by a centre **after** the candidate has signed the declaration of authentication, the head of the assessment centre **must** submit full details of the case to the relevant awarding body at the earliest opportunity. Guidance and Form JCQ/M1 is provided in the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*. This publication and Form JCQ/M1 can be found on the JCQ website: [http://www.jcq.org.uk/exams\\_office/malpractice/](http://www.jcq.org.uk/exams_office/malpractice/).

6.4 The statutory regulations place a responsibility upon the awarding bodies to require centres to have a published internal appeals procedure in place, relating to internal assessment decisions, which is made widely available and accessible to all candidates. The procedure must cover appeals against decisions to reject a candidate's controlled assessment on the grounds of malpractice. Further advice is given in the JCQ document *Arrangements for internal appeals about internal assessment decisions and enquiries about results*. This document can be found on the JCQ website: [http://www.jcq.org.uk/exams\\_office/other/](http://www.jcq.org.uk/exams_office/other/).

6.5 In the case of reports of suspected malpractice in controlled assessments received from examiners or moderators, the awarding body, where necessary, will ask the head of the assessment centre to conduct a full investigation into the alleged malpractice and report his/her findings to the awarding body. Guidance is provided in the JCQ Malpractice publication referred to in **paragraph 6.3**.

6.6 Awarding bodies reserve the right to submit candidates' work to third party IT service providers in order to detect potential and suspected malpractice. Any such submissions will be done in a way which protects the identity of the candidate.

## 7. Submission of marks and work for internally assessed controlled assessments

- 7.1 Awarding bodies will publish deadlines for the submission of marks.
- 7.2 Forms for recording final marks for internally assessed controlled assessments are supplied by the awarding body. The forms and any other documentation provided must be completed in accordance with the instructions given and returned to the awarding body by the date specified. As an alternative, centres may submit their marks electronically, as specified by the awarding body.
- 7.3 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 and the centre **must** contact the awarding body as soon as possible to request such an arrangement. It is important that centres are aware that the timely release of examination results will be put at risk if the deadlines for the submission of marks and samples are not adhered to.
- 7.4 Where centres submit their marks electronically, the awarding body may also require a copy of the marks to be submitted to the moderator, along with any other documentation needed.
- 7.5 The centre may 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.
- 7.6 Awarding bodies will not accept work from centres that arrives too late to be moderated.

## 8. External moderation

- 8.1 The purpose of moderation is to bring the marking of internally-assessed components in all participating centres to an agreed standard.
- 8.2 The normal procedure is postal moderation, where the centre submits a sample of work to the moderator. For certain components however, the moderator may visit the centre to mark the sample of work.
- 8.3 Different procedures may apply where work is ephemeral (i.e. there is no permanent end-product).
- 8.4 By the date specified, each centre must submit to the awarding body:
- details of marks awarded;
  - authentication of the work submitted for assessment;
  - confirmation that internal standardisation has been carried out as required;
  - any other information as the specification may require.
- 8.5 The awarding body (or the moderator on behalf of the awarding body) normally specifies the candidates whose work is required for moderation by name/number. The sample should include work from across the range of attainment at the centre.
- 8.6 For visiting moderation, a visit is arranged for a date and time convenient to both the centre and moderator.
- 8.7 For both postal and visiting moderation, the moderator assesses the sample of work using the published marking criteria in the specification.
- 8.8 The moderator marks are compared with the centre marks for the sample of work. If a significant number of the differences between the moderator marks and the centre's marks exceed the specified tolerance, adjustments may be applied to the centre's marks.
- 8.9 If further evidence of the centre's marking is required, the moderator may request some or all of the remaining work, which **must** be available having been kept securely.
- 8.10 If there is a significant disagreement between the centre's rank order and the moderator's rank order, the moderator's marks may be implemented for all candidates entered for the component by the centre.
- 8.11 In certain circumstances (for example, if internal standardisation has not been carried out), the awarding body may ask the centre to re-consider its marks.

## 9. Return of work to centres

- 9.1 Moderators will normally return work directly to centres where instructed to do so by the awarding body. Controlled assessments submitted electronically will not be returned to centres.
- 9.2 Centres are required to retain candidates' marked work under secure conditions, whether or not it was part of the moderation sample, until all possibility of enquiries about results has been exhausted. Where retention is a problem, because of the nature of the work, some form of evidence (e.g. photographic, audio-taped or videotaped) must be available. Centres are requested to keep a record of the examination numbers and names of those candidates whose work is included in the sample sent to or seen by moderators. This information may be required if there are enquiries about results at a later date. In the case of work stored electronically within the centre, protection from corruption should also be taken into account.
- 9.3 The awarding bodies may use extracts from centre assessed material on an anonymous basis for the purposes of training and to exemplify standards. Awarding bodies reserve the right to use extracts from centre assessed material on an anonymous basis in educational presentations, material and products in accordance with copyright law and to retain examples of centre assessed work for archive purposes (e.g. standardising and guidance to teachers).

## 10. Consortium arrangements (GCSE qualifications)

**(These rules also apply to Entry Level Functional Skills qualifications and free standing Level 1 and Level 2 Functional Skills English qualifications. They *may* apply to Level 1 and Level 2 Functional Skills English qualifications undertaken as part of a Diploma qualification. Centres should consult their awarding body for further guidance.)**

- 10.1 In cases where all candidates from different centres have been taught and are being assessed together, centres must inform the awarding body of the relevant internally-assessed units/components and the centres involved. Centres in such an arrangement are referred to as a consortium.
- 10.2 The centres in the consortium must nominate a consortium co-ordinator who undertakes to liaise with the awarding body on behalf of all the centres.
- 10.3 Consortium co-ordinators should complete Form JCQ/CCA *Centre consortium arrangements for centre assessed work* for each examination series and for each specification with one or more internally-assessed components that has been taught jointly.
- The form is available on the JCQ website: [http://www.jcq.org.uk/exams\\_office/forms/](http://www.jcq.org.uk/exams_office/forms/).  
Co-ordinators must return the form to the relevant awarding body by 31 January 2012 for the June 2012 examination series. For other examination series during the course of the academic year 2011/12, individual awarding bodies should be consulted.
- 10.4 The centres must carry out internal standardisation of the marking of controlled assessments across the consortium.
- 10.5 The awarding body will allocate the same moderator to each centre in the consortium and the candidates will be treated as a single group for the purpose of moderation.

10.6 If a consortium submits an enquiry about results, the work must be available from all centres in the consortium, as it is the original sample that is reviewed.

## 11. Consortium arrangements (Principal Learning)

11.1 Centres working within a recognised consortium must carry out internal standardisation of the marking of controlled assessments across the consortium.<sup>1</sup>

11.2 The awarding body will allocate the same moderator to each centre in the consortium and the candidates will be treated as a single group for the purpose of moderation.

11.3 If a consortium submits an enquiry about results, the work must be available from all centres in the consortium, as it is the original sample that is reviewed.

11.4 It will be the responsibility of the centre that enters candidates for an internally assessed Principal Learning unit to send marks to the relevant component awarding body and to share those marks with the candidates' home centres, if required. The centre making the entries will also be responsible for providing the moderator with any samples of candidates' work that are requested, either during a moderator's visit or by post or via electronic delivery.

11.5 Where a consortium is moderated as a whole, the moderator's feedback report will relate to the consortium. It will not be tailored to each individual centre. The moderator's feedback will be available to each centre within the consortium which has made entries for the particular line of learning.

## 12. Externally assessed controlled assessments

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

12.2 Externally-assessed controlled assessments will not necessarily be returned to centres automatically. When the work is not returned to centres, it is treated in the same way as examination scripts and centres will be required to request such work under access to scripts arrangements. For further information on access to scripts arrangements, centres should refer to the JCQ document *Post Result Services, Information and guidance for centres*. This publication is available on the JCQ website: [http://www.jcq.org.uk/exams\\_office/postresult\\_services/](http://www.jcq.org.uk/exams_office/postresult_services/).

Feedback forms will not accompany any externally assessed controlled assessments returned to centres. **Where externally assessed controlled assessments are returned to centres, they must be kept under secure conditions until any possibility of an enquiry about results has been exhausted.**

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<sup>1</sup> A recognised consortium consists of a group of centres collaborating on the delivery and assessment of one or more internally assessed Principal Learning components. It does not include centres that may share resources but choose to assess an internally assessed Principal Learning component as a single centre. The awarding body should be consulted for any further clarification.

### 13. Factors affecting individual candidates

- 13.1 Teachers should be able to accommodate the occasional absence of a candidate by ensuring that an opportunity is given to them to make up the missed controlled assessment. An alternative supervised session should be organised for such candidates. **For controlled assessments taken in an examination series prior to the one in which certification is claimed, candidates must be re-entered for the missed unit at the next assessment opportunity. Every effort must be made for the candidate to prepare and complete the unit.**

**Unless there are difficulties, e.g. group performances which cannot be repeated, special consideration will not be awarded.**

**Example:**

A candidate in Year 9 starts his GCSE English course in September 2011. The candidate falls ill in November 2011 and returns to school two months later in January 2012. Whilst the candidate has been away his peers were prepared for a controlled assessment unit, which they have subsequently completed.

The teacher contacts the awarding body to say that she does not have the time to prepare the candidate upon his return to school; he cannot catch up. The teacher wishes to apply for special consideration. The candidate has not covered the course as he did not produce any work for the controlled assessment unit.

The awarding body informs her that special consideration is not possible on two grounds.

- i) **As the candidate will not be certificating until June 2013, there will be a further assessment opportunity during the course of the academic year 2012/2013. The centre is told that it must make every endeavour to ensure that the candidate completes this particular unit.**
- ii) **The student has not been fully prepared for the unit and additionally the unit is not being sat in his terminal series.**

Where a candidate is absent from a controlled assessment unit for acceptable reasons **in the terminal examination series**, and the centre is prepared to support an application for special consideration, an adjustment may be made to the grade (**e.g. when the candidate is cashing-in/certificating for his/her subject award**).

The candidate **must** have:

- completed at least 50% of the total assessment; **and**
- covered the whole course, been fully prepared for the unit, but was unable to complete it on account of a temporary injury, illness or other indisposition at the time of the assessment.

- 13.2 If a candidate's work has been **lost within the examination centre** and despite every effort it cannot be found, or it has been accidentally destroyed, the circumstances should be reported immediately to the awarding body using **Form 15 – JCQ/LCW**. This form is available on the JCQ website – [www.jcq.org.uk/](http://www.jcq.org.uk/). Guidance is provided in the JCQ booklet referred to in **paragraph 13.8, page 18**.

- 13.3 The awarding body will consider whether it is appropriate to accept a mark for which there is no available evidence of attainment. This might occur in the following circumstances.
- The centre **must** be able to verify that the work was done and that it was monitored whilst it was in progress.
  - The loss **is not** the consequence of negligence on the part of the candidate.
  - **If only part of the work is lost and part of the work is available**, further guidance must be sought from the relevant awarding body.
  - **If the work was marked before it was lost or damaged**, marks should be submitted in the usual way. **Form 15 – JCQ/LCW must** be submitted both to the moderator and the awarding body by the deadline for the submission of internally assessed marks or by the date by which the work should be despatched for moderation. **No marks will be accepted after the issue of results.**
  - **If the work was not marked before it was lost or damaged**, an estimated mark may be submitted on **Form 15 – JCQ/LCW**, based on the teacher's knowledge of the work up to the point where it was lost. Estimates **must not** include any supposition as to what the candidate might have achieved if the work had been finished. Estimates **must not** be submitted on mark sheets, only on Form 15 – JCQ/LCW. **No estimated marks will be accepted after the issue of results.**
- 13.4 Candidates who move from one centre to another during a course may present a problem for a scheme of controlled assessment work. Possible courses of action depend on the stage at which the move takes place. If the move occurs early in the course, the new centre should take responsibility for conducting and marking the controlled assessment. If it occurs late in the course it may be possible to make other arrangements, provided that there is appropriate authentication of the candidate's work. Centres should contact the awarding body at the earliest opportunity for advice about appropriate arrangements for individual candidates.
- 13.5 Candidates outside mainstream education may be able to undertake controlled assessment work but only if suitable arrangements for supervision and authentication can be made. Centres should contact the awarding body at the earliest opportunity for advice.
- 13.6 If a candidate has been subject to an unforeseen prolonged illness or other misfortune during the period when the controlled assessment work was produced, it may, in some subjects be possible to accept a reduced quantity of work without penalty, **as long as all of the assessment objectives have been covered at least once**. This will not be possible if the specification requires only one piece of work. Where several pieces of work are required, the reduction will be accepted only if those pieces are testing the same criteria. It will not be possible to give this consideration in every case, for example if work has not been submitted or the assessment objectives have not been satisfied.

No adjustment to the marks should be made by the centre. A special consideration form, **Form 10 – JCQ/SC** should be submitted to the awarding body, attached to a breakdown of marks across the assessment objectives. **Candidates must have been fully prepared for the course but unable to finish the controlled assessment.** Awarding bodies will not normally agree a reduced amount of work in advance.

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

- 13.7 Where a centre has identified that it has prepared candidates for the wrong assignment for the series, it should make arrangements for candidates to produce work which reflects the correct assignment. **This may mean deferring entries until a future examination series.** In the event that this is not possible, the centre should submit an application for special consideration using **Form 10 – JCQ/SC** to see if the task and the marks awarded can be accepted. **Centres must take great care in ensuring that they give candidates the correct task.**
- 13.8 Further information on the procedures for applying for special consideration may be found in the JCQ publication *Access Arrangements, Reasonable Adjustments and Special Consideration, 1 September 2011 to 31 August 2012*  
[http://www.jcq.org.uk/exams\\_office/access-arrangements/](http://www.jcq.org.uk/exams_office/access-arrangements/).

## 14. Feedback to centres

- 14.1 The final moderated marks (or in some cases, details of the mark adjustments) are provided to centres electronically with the results. Feedback forms from the moderator are also made available to centres, either in hard copy format or electronically and (as a minimum) provide advice on the following:
- how appropriate the tasks were (where set or contextualised by the centre) and the coverage of the assessment objectives;
  - the accuracy of the centre's assessments against the criteria and in relation to the agreed standard for the component;
  - the efficiency of the centre's administration.
- 14.2 **The advice given on the feedback forms will 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 component. It should enable centres to take remedial action where necessary before the next submission of internally-assessed work.**
- 14.3 Comments on the accuracy of a centre's assessments may be made even if no adjustment is applied. For example, if the difference between the moderator marks and the centre marks is only just within the specified tolerance, the moderator will normally provide advice on the standard of marking.

## 15. Enquiries about Results services for controlled assessments

- 15.1 As part of the JCQ awarding bodies' enquiries about results services, centres can request a post-results review of moderation (Service 3) to ensure that the assessment criteria have been fairly, reliably and consistently applied. **This service is not available if the centre's marks have been accepted without change by an awarding body.**
- 15.2 The review of moderation:
- is a process in which a second moderator reviews the work of the first moderator. The second moderator sees the original marks and any annotations made by the first moderator to gain a full and clear understanding of whether the assessment criteria have been applied as intended;
  - is undertaken on the original sample of candidates' work;
  - includes feedback similar to that provided following the original moderation. (If centre marks are reinstated, feedback may not be provided.)
- 15.3 A review of moderation will not be undertaken upon the work of an individual candidate or the work of candidates not in the original sample (unless there was a fault in the selection of the original sample, e.g. insufficient candidates included).
- 15.4 The work submitted for a review of moderation:
- must be despatched to the moderator within three working days – failure to meet this undertaking may delay the outcome of the enquiry **or result in the enquiry being cancelled;**
  - must be the original work submitted for moderation;
  - must have been kept under secure conditions;
  - must not have been returned to the candidates.
- 15.5 If the original sample of candidates' work has been lost, an equivalent sample may be requested by the awarding body.
- 15.6 **Externally assessed controlled assessments** will be treated as examination scripts for the purposes of enquiries about results. Centres should request a post-results review of marking (Service 2) or a priority post-results review of marking (Priority Service 2) as appropriate to the level of the qualification.
- 15.7 For further information on the enquiries about results process please refer to the JCQ document *Post Result Services, Information and guidance for centres*. This publication is available on the JCQ website [http://www.jcq.org.uk/exams\\_office/postresult\\_services/](http://www.jcq.org.uk/exams_office/postresult_services/).

## 16. Access Arrangements

- 16.1 Awarding bodies when developing specifications took note of the provisions of the Disability Discrimination Act (DDA) 1995. However, when choosing specifications, candidates **must** be made aware of the skills which they will be required to demonstrate in controlled assessments. If they choose a specification where they will not be able to demonstrate attainment in all parts of the assessment, they may not be able to gain all of the available credit.
- 16.2 It is possible for access arrangements to be granted so that candidates with particular requirements can access the assessment(s). These arrangements **must** be made in advance of examinations and assessments. Centres should refer to the JCQ publication *Access Arrangements, Reasonable Adjustments and Special Consideration, 1 September 2011 to 31 August 2012*. This is published on the JCQ website: [http://www.jcq.org.uk/exams\\_office/access-arrangements/](http://www.jcq.org.uk/exams_office/access-arrangements/).
- 16.3 The overriding principle is that if a candidate has an access arrangement as part of his or her normal way of working and he/she requires such an arrangement for the written component(s), then a similar arrangement should be made for the controlled assessment(s). As with written examinations, an approved application must be on file, with supporting evidence of need where required. Teaching staff should ensure that they are aware of any access arrangements which need to be applied during a controlled assessment session.

The most likely access arrangements will be:

- Bilingual dictionary
- Bilingual dictionary and extra time of up to 25%  
(for example where candidates are required to produce an extended piece of work or submit their responses to a series of structured questions under timed conditions)
- Extra time of up to 25%  
(for example where candidates are required to produce an extended piece of work or submit their responses to a series of structured questions under timed conditions)
- Practical Assistant
- Prompter  
(for example where candidates are required to produce an extended piece of work or submit their responses to a series of structured questions under timed conditions)
- Reader (where candidates are presented with a series of structured questions)
- Scribe
- Supervised rest breaks  
(for example where candidates are required to produce an extended piece of work or submit their responses to a series of structured questions under timed conditions)

Computers will be considered as standard unless an awarding body's specification says otherwise.

- 16.4 Centres **must** ensure that, in controlled assessments marked by teachers, credit is given only for those skills demonstrated by the candidate working independently and that access arrangements do not undermine the integrity of the qualification.

## 17. Re-working and re-sitting controlled assessment units

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

- Where the work presented for assessment has to be carried out under formal supervision, any candidate re-doing this work must undertake a different task<sup>2</sup>, which must be undertaken in a new period of formal supervision. Candidates must not be allowed to make another attempt at the original task. However, candidates may re-use the research carried out for the original task.
- Where the work presented for assessment has to be carried out under informal supervision, candidates may make amendments to it in the light of feedback from their teacher provided this feedback is in line with the requirements of the specification and of **section 4.5, page 6**, of these *Instructions*. Candidates must not be allowed to make amendments after the work has been submitted for final assessment by the teacher.

17.2 Candidates who re-sit a controlled assessment (e.g. in June 2012, having previously submitted work for the unit/component<sup>3</sup> in June 2011) may make another attempt at the task previously submitted, if that task is still appropriate to the year in which the assessment will be submitted. **The work presented for assessment, carried out under informal or formal supervision, must be entirely new.** Candidates **must not** be allowed to amend the work which was submitted previously. However, candidates may re-use the research carried out previously.

This rule applies equally to the re-use of work from a unit/component in one specification for a unit/component in a different specification or for another unit in the same specification. Candidates may re-use their research, but the work presented for assessment must be entirely new.

17.3 In unitised GCSE specifications, controlled assessment units can contribute to the 40% terminal requirement. If a candidate wishes to re-take a GCSE qualification, he/she may re-use the result of any unit, including the controlled assessment unit. However, the candidate must meet the terminal requirement by re-taking units contributing to at least 40% of the assessment. The result(s) (of units accounting for at least 40% of the total assessment) from this final series will count towards the new award even if the candidate has (a) better result(s) from a previous series.

## 18. Private Candidates

18.1 Private candidates should always be advised to check with the relevant awarding body before embarking upon a GCSE qualification which requires controlled assessment. Some specifications will not be available to private candidates because of the specific nature of the controlled assessment. Private candidates will be able to undertake other specifications which include controlled assessment only if suitable arrangements can be made for supervision and authentication.

**N.B: It is not possible for a private candidate to register for Principal Learning within a Diploma qualification.**

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<sup>2</sup> This new task must, of course, be available for the examination series in question.

<sup>3</sup> In unitised GCSE specifications, candidates may re-take an individual unit once before certification. There are no restrictions on the number of re-sits in Principal Learning. In linear GCSE specifications candidates who re-take the whole qualification may either re-take the controlled assessment component or re-use their previous mark.

## Declaration of Authentication – Controlled Assessments

Each candidate is required to sign a declaration, before submitting their work to their subject teachers/assessors, stating that the work is their own and that any assistance given and/or sources used have been acknowledged. **Ensuring that they do so is the responsibility of centres.**

Awarding bodies may issue Declaration of Authentication forms to centres, which will replicate some or all of the wording detailed below. Alternatively, the following text may be used as guidance by those centres who wish to create their own documentation.

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

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

### *Declaration by candidate*

*I have read and understood the **Information for candidates (GCSE, Functional Skills and Principal Learning: Controlled Assessments)**. I have produced the attached work without assistance other than that which is acceptable under the scheme of assessment.*

*Candidate's name:.....*

*Candidate's signature:..... Date:.....*

### *Declaration by teacher*

*I confirm that:*

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

*Teacher's name:.....*

*Teacher's signature..... Date:.....*



This notice has been produced on behalf of:

AQA, City & Guilds, CCEA, Edexcel, OCR and WJEC

### Information for candidates

#### GCSE, Functional Skills and Principal Learning, Controlled Assessments

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

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

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

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

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

**The regulations state that:**

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

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

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

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

<http://www.bbc.co.uk/schools/16/sosteacher/history/49766.shtml>, downloaded 12 February 2012.

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

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

## **Preparing your work — good practice**

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

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

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

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

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

## **Plagiarism**

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

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

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

## **Penalties for breaking the regulations**

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

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

Your awarding body will decide which penalty is appropriate.

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