



ALSOP HIGH SCHOOL

Non-Examination Assessment Procedures

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Introduction

The Alsop High School Technology and Applied Learning Specialist College is committed to offering equal access to all students to the examinations system as laid down by the Code of Practice produced by the Joint Council for Qualifications. This policy affects the delivery of subjects of GCE and GCSE qualifications which contain a component(s) of non-exam assessment.

Purpose of the Policy

The purpose of the policy, as defined by the JCQ, is to

- Cover procedures for planning and managing non-examination assessments
- Define staff roles and responsibilities with respect to non-examination assessments
- Manage risks associated with non-examination assessments

What are non-examination assessments?

Non-examination assessment is a form of assessment for reformed GCE and GCSE specifications, where it is the only means of assessing essential knowledge and skills that cannot be tested by timed written papers. This includes Practical skills for GCE Science A Levels and spoken Language for GCSE English Language.

There are three assessment stages and rules apply to each stage. The stages are:

- Task setting
- Task taking
- Task marking

Non-examination assessment makes up part of the GCE and GCSE course and the final qualification grade.

It is the aim of the Alsop High School Technology College that all students fulfill their examination potential.

It is the responsibility of everyone involved in the exam processes to read, understand and implement this policy.

The purpose of this policy is to ensure the school has an efficient non-examination assessment system with clear guidelines for all relevant staff. This includes planning and managing non-examination assessments, staff responsibilities and risk management.

Exam Responsibilities

Head of Centre

The Head of Centre has overall responsibility for the school as an examination Centre.

The Head of Centre returns a declaration (managed as part of the National Centre Number Register annual update) to confirm awareness of, and that relevant centre staff are adhering to, the latest version of NEA.

The Head of Centre ensures that the Non-examination policy is fit for purpose.

The Head of Centre ensures the centre's Internal Appeals procedures clearly detail the procedure to be followed by candidates appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking.

The Head of Centre is familiar with the JCQ publication *Suspected Malpractice: Policies and Procedures* and has responsibility for reporting all suspicions or actual incidents of malpractice. Refer to the JCQ document *Suspected malpractice in examinations and assessments*.

Senior Leader for Examinations and Data

The Senior Leader for Examinations and Data is responsible for liaising between the SLT, HOF and the Examinations and Data Team.

The Senior Leader for Examinations and Data ensures the correct conduct of non-examination assessments (including endorsements) which comply with NEA and awarding body subject-specific instructions.

The Senior Leader for Examinations and Data ensures the centre-wide calendar records assessment schedules by the start of the academic year.

The Senior Leader for Examinations and Data must ensure that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice.

The Senior Leader for Examinations and Data is responsible for investigating suspected malpractice and to conduct and advise on appeals and remarks.

The Senior Leader for Examinations and Data is responsible for the updating of all examination related policies.

To liaise with SLT, HOF, Subject Staff and Candidates to ensure they understand the exam regulations regarding plagiarism, malpractice, on-screen exams, written exams and internally assessed work.

Examinations and Data Team

The Examinations and Data Team signposts the annually updated JCQ publications *NEA, Notice to Centres – Sharing NEA material and candidates' work and Suspected Malpractice; Policies and Procedures* to relevant centre staff

The Examinations and Data Team are responsible for informing the Head of Faculty when non-examination assessment materials arrive at the Centre.

The Exams and Data Team carries out tasks where they may be applicable to the role in supporting the administration/management of non-examination assessment.

The Examinations and Data Team are responsible for updating the Information & Instructions for Students and Parents on External Examinations, making sure all relevant JCQ documentation are included.

The Examinations and Data Team are responsible for setting internal deadlines that will allow the Centre to accommodate any candidate requests for reviews of marking and to meet the deadline for the submission of marks and candidates' work.

It is the responsibility of the Examinations and Data Team to guide candidates through the appeals procedure and submit a written report on the outcome.

Lead Internal Verifier

Liaises with Heads of Faculty to ensure that appropriate awarding body forms and templates for non-examination assessments are used by teachers and candidates

Ensures appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body standards.

Ensures appropriate centre templates are provided to record relevant information given to candidates by subject teachers

Ensures appropriate centre templates are provided to record relevant information is received and understood by candidates

Where not provided by the awarding body, ensures a centre template is provided for candidates to keep a detailed record of their own research, planning, resources etc.

Head of Faculty

As the Head of Centre's subject representative, Heads of Faculty will take ultimate responsibility for non-examination assessment. They must manage the non-examination assessment programme in their faculties and adhere to JCQ, Awarding Body and subject – specific requirements and guidance.

If the task is Centre set, the Head of Faculty must ensure (or direct teaching staff to ensure) they use the criteria set out in the subject specification and that the task is accessible to candidates. Centres must refer to the awarding body's specification.

The Head of Faculty is responsible for arranging security arrangements for non-examination assessment materials including mark schemes and candidates' work in their faculty throughout the assessment process.

The Head of Faculty is responsible for ensuring all teaching staff in their faculty participating in non-examination assessment understand and follow all awarding body regulations and have access to the JCQ document *Instructions for conducting non-examination assessments (new GCE & GCSE Specifications)* and this policy.

The Head of Faculty should ensure schemes of work include non-examination assessments.

The Head of Faculty should ensure the standardisation of non-examination assessments and work with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers.

Subject Teachers

- Subject Teachers should ensure they have access to the subject specification and the JCQ document *Instructions for conducting non-examination assessments (new GCE & GCSE specifications)* and are understand the regulations.
- Where provided, understands and complies with the awarding body's specification for conducting non-examination assessments, including any subject specific instructions, teachers notes or additional information on the awarding body's website
- Marks internally assessment to criteria set out by the awarding body
- Ensures the Exams Officer is provided with relevant entry codes for subjects to the internal deadline for entries

Task Setting

Subject teacher

- Selects tasks to be undertaken where a number of comparable tasks are provided by the awarding body OR designs tasks where this is permitted by criteria set out in the specification.
- Makes candidates aware of the criteria used to assess their work

Issuing of Tasks

Subject teacher

- Determines when set tasks are issued by the awarding body
- Identifies dates when tasks should be taken by candidates
- Accesses set tasks in sufficient time to allow planning, resourcing and teaching
- Ensures that all relevant declaration forms are completed and stored securely.

Task Taking

Supervision

Subject Teacher

- Checks the awarding body's subject specific requirements ensuring that candidates take tasks under the required conditions and supervision arrangements
- Assessments held in subject classroom must have all display work covered to ensure the integrity of the assessment.
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own
- Is confident where work may be completed outside of the centre, without direct supervision, that the work produced is the candidate's own
- Where candidates can work in groups, keeps a record of each candidate's contribution
- Ensures candidates are aware of the current JCQ documents *Information for Candidates non-examination assessments* and *Information for Candidates – Social Media*

- Ensures candidates understand and comply with the regulations in relevant JCQ documents *Information for Candidates*
- Ensures they take an attendance register for the non-examination assessment session. A copy of the attendance register must be kept until the deadline for requesting a review of results has passed.

Advice and Feedback

Subject Teachers

- As relevant to the subject, should advise candidates on relevant specification before they begin work on a task and that they are know how to present the work.
- **Must not** provide model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings)
- Unless subject specification prohibits, Subject Teachers are able to give candidates general written or oral feedback which does not need to be recorded. If Subject Teachers give any assistance above this, it must be recorded and considered when marking or submitting work to the examiner.
- Allows candidates to revise and re-draft work after advice has been given at a general level.
- Ensures when work has been assessed, candidates are not allowed to revise it.
- Refers to the awarding body's specification to determine where word and time limits apply/are mandatory
- Subject Teachers should mark the non-examination assessment using the mark schemes and specification provided by the awarding body. Annotation should be used to indicate how and why marks have been awarded.
- Subject Teachers must inform candidates of their mark before they are submitted to the awarding body to enable candidates to request a review of marks if required.

Resources

Subject Teachers

- Refers to the awarding body's specification to determine if candidates have restricted/un restricted access to resources when planning and researching their tasks
- Ensures conditions for any formally supervised sessions are known and at the beginning of the session that candidates have no unauthorised materials e.g. mobile phones, booklets etc.
- Ensures that candidates only have the preparatory notes if permitted and that these are collected and stored securely at the end of each session. Ensures that candidates understand and follow any conditions for any formally supervised sessions
- Ensures candidates understand they are not allowed to introduce improved notes or new resources between formally supervised sessions
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources, etc.

Collaboration and Group Work

Subject Teacher

- Unless stated otherwise in the awarding body's specification, and where appropriate, allows candidates to collaborate when carrying out research and preparatory work
- Ensures it is possible to accredit assessable outcomes to individual candidates.
- Ensures that where an assignment requires written work to be produced, each candidate writes up their own account of the assignment
- Assesses the work of each candidate independently

Authentication Procedures

Subject Teacher

- Where required by the awarding body's specification

Ensures candidates sign a declaration confirming the work they submit is their own unaided work

Signs the teacher declaration of authentication confirming the requirements have been met

- Electronic signature is acceptable for coursework/NEA Declaration of Authentication
- Keeps candidate signed declarations on file until after the deadline for requesting the reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
- Where candidates produce coursework electronically their work must be backed-up regularly and stored securely on the centre's IT system.
- Provides signed candidate declarations where these may be requested by a JCQ Inspector

If subject teachers have concerns about the authenticity of the candidate's work and has been completed under the required conditions they must;

- Not accept the candidate's work for assessment
- Record a mark of zero for internally assessed work.

If the subject teachers are concerned, that malpractice may have occurred, or if they are unable to authenticate the work for any other reason, they must inform a member of the Senior Leadership team.

Presentation of work

Subject Teacher

- Obtains informed consent at the beginning of the course from parents/carers if videos/photographs/images of candidates will be included as evidence of participation or contribution.
- Informs candidates how to present work as detailed in NEA unless the awarding body's specification gives different subject-specific instructions

- Instructs candidates to add their candidate number, centre number and the component code of the assessment as header/footer on each page of their work

Keeping Materials Secure

Subject Teacher

- Ensures work is stored securely between formally supervised sessions
- Ensures work is stored securely once finally submitted for assessment
- Follows secure storage instructions as outlined in the JCQ NEQ document 4.8
- Takes precautions when work is taken home to mark
- Stores all internally assessed work, including any moderation samples, until after the post results services deadline
- Return internally assessed work to candidates (if requested) once the post-results deadline has passed and any subsequent appeal has been completed
- Reminds candidates of the contents of the JCQ document *Information for Candidates – Social Media* to keep their own work secure at all times and not share completed or partially completed work on-line, social media or through any other means
- If computers are used liaise with the IT Manager to ensure that the internet is disabled and any work must be stored in a restricted area on the network which must be locked after each session.
- Is aware that during the period from the submission of work for formal assessment until the deadline for requesting a review of results, copies of work may be used for other purposes, provided that the originals are stored securely as required.

IT Manager

- Ensures appropriate arrangements are in place to restrict access between sessions to candidate's work where work is stored electronically
- Restricts access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software
- Employs an effective back-up strategy so that an up-to-date archive of candidates' evidence is maintained
- Refers to the awarding body guidance regarding encryption and encrypts any sensitive digital media to ensure the security of the data stored within it

Task Marking – Externally assessed components

Subject Teacher

- Liaises with the Exams Officer regarding the arrangements for any externally assessed components of a specification
- Liaises with the Visiting Examiner where applicable to any externally assessed component

Exams Officer

- Organises timetabling, rooming and invigilation where applicable to any externally assessed non-examination component
- Conducts the externally assessed component as specified by the awarding body and according to the JCQ Instructions for Conducting Examinations

Submission of Work

Subject Teacher

- Provides attendance register to the Visiting Examiner

Exams Officer

- Provides the attendance register to the teacher for a component assessed by a Visiting Examiner
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly
- Where candidates' work must be dispatched to an awarding body's examiner, ensures the completed attendance register is included with the work
- Keeps a copy of the attendance register until after the deadline for review of results
- Will monitor, collate, dispatch and submit non-examination assessment marks and sample to the awarding body

Task Marking – Internally assessed components

Marking and Annotation

Head of Centre

- Ensures where a teacher is teaching, preparing and assessing a candidate with whom they have a close relationship e.g. member of their family or close friends and their immediate family a conflict of interest is declared to the awarding body and the marked work of the child submitted for moderation, whether it is part of the sample or not

Head of Faculty

- Produces timescales to inform candidates of their centre-assessed marks that will allow sufficient time for candidates to appeal an assessment decision or request a review of marking prior to the marks being submitted to the awarding body.

Subject Teacher

- Accesses awarding body training/updates to ensure familiarity with the marking process.
- Teachers should mark the non-examination assessment using the mark schemes and specification provided by the awarding body.
- Annotation should be used to indicate how and why marks have been awarded.
- Informs candidates of their marks which could be subject to change by the awarding body moderation process
- Inform candidates of timescales for the Internal Appeals procedure to enable a request for a review of marking before final marks are submitted to the awarding body.

Lead Internal Verifier

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence
- Retains evidence that internal standardisation has taken place

Subject Teacher

- Specifies on work the date of marking
- Marks to common standards

Consortium arrangements

Head of Faculty

- Ensures a Consortium lead is nominated who liaises with the Exams Officer to ensure that the awarding body is informed that the centre is part of a consortium by submitting a JCQ CCA form for the exam series
- Liaises with the Exams Officer to ensure the awarding body is informed that the centre is part of a Consortium by submitting a JCQ/CCA form for each exam series (where the Consortium lead)
- Ensures internal standardisation procedures are followed

Subject Teacher

- Provide the Exams Officer with marks by the internal deadline
- Provides the moderation sample to the Exams Office by the internal deadline
- Retains all candidates work in the consortium until after the deadline for review of results or appeal for the exam series, whichever is later

Exams Officer

Where the centre is consortium lead

- Submits an online notification of Centre consortium arrangements for centre assessed work to the relevant awarding body through the Centre Admin Portal by the published deadline for the exam series
- Submits marks for home centre candidates by the awarding body deadline
- Liaises with other Exam Officers in the consortium to arrange dispatch of a single sample for moderation by the awarding body deadline

Submission of marks and work for moderation

Subject Teacher

- Provides marks to the Exams Officer by the internal deadline
- Provides the moderation sample to the Exams Officer, keeping a record of the work submitted, by the internal deadline
- Ensures where access arrangements have been in place for a candidate e.g. scribe, that the appropriate cover sheet is included with the sample
- Ensures that the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been completed
- Submits any supporting documentation required by the awarding body

Exams Officer

- Inputs and submits marks online via the awarding body secure site, keeping a record of marks submitted by the published deadline. Confirms marks have been submitted to Head of Faculty.
- Submits the requested candidate sample to the moderator by the published deadline, keeping a record of work submitted & confirming submission to the Head of Faculty
- Ensures for postal moderation that;
 - Work is dispatched in packaging provided by the awarding body
 - Moderator labels issued by the awarding body are affixed to the package
 - Proof of dispatch is obtained and kept until the issue of final results
- Through the subject teacher, ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where required.
- Submits any supporting documentation required

Storage and retention of work after submission of marks

Subject Teacher

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample
- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions until after the deadline for enquiries about results
- Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- Retains evidence of work where retention may be a problem for example, photos, audio recordings.

Exams Officer

- Ensures any moderation samples are logged and returned to the subject teacher for secure storage and retained for the required period.

External Moderation – Process

Subject Teacher

- Ensures the moderator receives the correct samples of candidate's work
- Where applicable, liaises with the awarding body/moderator where the moderator visits the centre to mark the work
- Complies with any request for further samples of candidate's work or evidence of Centre's marking

External Moderation – Feedback

Head of Faculty

- Checks the final moderated marks when issued to the centre when results are published
- Checks moderator reports and ensures any remedial action is undertaken

Exams Officer

- Accesses or signposts moderator reports to relevant staff
- Takes remedial action, if necessary, where feedback relates to centre administration

Candidates

Candidates are responsible for signing a declaration that authenticates the non-examination assessed work as their own and understand the regulations regarding internally assessed work.

Candidates must ensure they have read a copy of the Information & Instructions for Students and Parents on External Examinations, which will outline the new JCQ documentation for candidates.

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

Access Arrangements

Subject Teacher

- Works with the SENCo to ensure any access arrangements for eligible candidates are applied to assessments

SENCo

- The SENCo is responsible for the administration of access arrangements, following the regulations and guidance in the JCQ publication *Access Arrangements and Reasonable Adjustments* and ensures that all requests are forwarded to the Awarding Bodies.
- The SENCo is responsible for ensuring all Heads of Faculty are aware of any access arrangements and/or extra time requirements that a candidate has for assessments
- Procedures for planning and managing non-examination assessments;
- Management of risks associated with non-examination assessment.

- It is the SENCO's responsibility to record and collate evidence in line with JCQ guidance to support the application of, and decision over **all** access arrangements. This record of evidence should be regularly shared with the Senior Leader for Exams and the Exams and Data Team with enough time for the Centre to apply for access arrangements in advance of time-tabled non-examination assessments.
- It is the responsibility of the SENCO to ensure that all staff acting as an access arrangement facilitator are fully trained in their role and keeps a record of all training given.
- The SENCO must ensure that all relevant staff are aware of any access arrangements which need to be applied for non-examination assessments.

Special Consideration and loss of work

Subject Teacher

- Is aware that a candidate may be eligible for special consideration in assessments in certain situations where a candidate:
 - Is absent
 - Produces a reduced quantity of work
 - Work has been lost
- Liaises with the Exams Officer where Special Consideration may need to be applied for a candidate taking assessments
- Liaises with the Exams Officer to report loss of work to the awarding body

Exams Officer

- Refers staff to the JCQ publication *A guide to the Special Consideration Process*
 - Where a candidate is eligible, submits an application for Special Consideration either via the awarding body's secure extranet site or submitting the JCQ form15 to their published timescale
 - Keeps evidence on file to support the application

Post Results Services

Head of Centre

- Is familiar with the JCQ publication *Post-Results Services*
- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates appealing against a centre decision not to support a review of results or an appeal

Head of Faculty

- Provides support to subject teachers making decisions about review of results

Subject Teacher

- Provides advice and guidance to candidates on their results and the post-results services available

- Provides the Exams Officer with the original sample or relevant sample of candidate's work that may be required for a review of moderation to the internal deadline

Exams Officer

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication *Post-Results Services*
- Signposts staff relevant centre staff and candidates to post-results services information
- Ensures any requests for post-results services that are available to non-examination assessments are submitted online via the awarding body secure extranet site to deadline

Practical Skills Endorsement for the A Level Sciences designed for use in England

Head of centre

- Returns an online 'Head of Centre declaration' at the time of the National Centre Number Register annual update confirming that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the prescribed practical activities
- Ensures new lead teachers undertake the required training provided by the awarding body on the implementation of the practical endorsement
- Ensures relevant centre staff liaise with all relevant parties in relation to arrangements for and conduct of the monitoring visit

Quality assurance (QA) lead/Lead internal verifier

- Ensures arrangements are in place for implementing the requirements of the practical endorsement appropriately and applying the standards appropriately

Head of Faculty

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England* and ensures any relevant JCQ/awarding body instructions are followed
- Ensures where the centre intends to enter candidates for the first time for one or more of the A level subjects, the relevant awarding body will be contacted at the beginning of the course
- Undertakes any training provided by the awarding body on the implementation of the practical endorsement
- Disseminates information to subject teachers ensuring the standards can be applied appropriately
- Liaises with all relevant parties in relation to arrangements for and conduct of a monitoring visit

Subject teacher

- Ensures all the JCQ/awarding body requirements/instructions in relation to the endorsement are known, understood and followed
- Ensures the required arrangements for practical activities are in place
- Provides all the required centre records
- Ensures candidates provide the required records
- Provides any required information to the subject lead regarding the monitoring visit
- Assesses candidates using *Common Practical Assessment Criteria (CPAC)*

- Applies for an exemption where a candidate cannot access the practical endorsement due to a substantial impairment
- Follows the awarding body's instructions for the submission of candidates Pass or Not Classified assessment outcome/provides assessment outcomes to the exams officer to the internal deadline

Exams officer

- Accepts contact with the monitor and passes information to the subject lead for a visit to be arranged with at least two weeks' notice
- Confirms with the subject teacher that assessment outcomes have been submitted to the awarding body to the external deadline/Follows the awarding body's instructions for the submission of candidates Pass or Not Classified assessment outcome

Spoken Language Endorsement for GCSE English Language specifications designed for use in England

Head of centre

- Returns an online 'Head of Centre declaration' at the time of the National Centre Number Register annual update, confirming that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the Spoken Language endorsement

Quality assurance (QA) lead/Lead internal verifier

- Ensures the appropriate arrangements are in place for internal standardisation of assessments

Head of Faculty

- Confirms understanding of the Spoken Language Endorsement for GCSE English Language specifications designed for use in England and ensures any relevant JCQ/awarding body instructions are followed
- Ensures the required task setting and task taking instructions are followed by subject teachers
- Ensures subject teachers assess candidates, either live or from recordings, using the common assessment criteria
- Ensures for monitoring purposes, audio-visual recordings of the presentations of a sample of candidates are provided

Subject teacher

- Ensures all the requirements in relation to the endorsement are known and understood
- Follows the required task setting and task taking instructions
- Assesses candidates, either live or from recordings, using the common assessment criteria
- Provides audio-visual recordings of the presentations of a sample of candidates for monitoring purposes
- Follows the awarding body's instructions for the submission of grades (Pass, Merit, Distinction or Not Classified) and the storage and submission of recordings

Exams officer

- Follows the awarding body's instructions for the submission of grades and recordings

Subject Specific Additional Information

GCSE Computer Science

- The programming project tasks do not contribute to the candidate's grade, but must continue to give candidates the opportunity (20 hours within the timetable) to complete the tasks

GCE/GCSE Art & Design

- JCQ's *Instructions for Conducting Examinations* are followed for the conduct of externally set components

Management of issues and potential risks associated with non-examination assessments

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	<p><i>Records confirm that relevant centre staff are familiar with and follow:</i></p> <ul style="list-style-type: none"> • <i>the current JCQ publication Instructions for conducting non-examination assessments</i> • <i>the JCQ document Notice to Centres - Sharing NEA material and candidates' work - www.jcq.org.uk/exams-office/non-examination-assessments</i> 	Exams Officer Senior Leader
Candidate malpractice	<p><i>Records confirm that candidates are informed and understand they must not:</i></p> <ul style="list-style-type: none"> • <i>submit work which is not their own</i> • <i>make available their work to other candidates through any medium</i> • <i>allow other candidates to have access to their own independently sourced material</i> • <i>assist other candidates to produce work</i> • <i>use books, the internet or other sources without acknowledgement or attribution</i> • <i>submit work that has been word processed by a third party without acknowledgement</i> • <i>include inappropriate, offensive or obscene material</i> <p><i>Records confirm that candidates have been made aware of the JCQ documents Information for candidates - non-examination assessments and Information for candidates – Social Media - www.jcq.org.uk/exams-office/information-for-candidates-documents and understand they must not post their work on social media</i></p>	Exams Officer Senior Leader Subject Teacher HOF
Task setting		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	<p><i>Awarding body key date for accessing/downloading set task noted prior to start of course</i> <i>IT systems checked prior to key date</i> <i>Alternative IT system used to gain access</i> <i>Awarding body contacted to request direct email of task details</i></p>	IT Manager Exams Officer
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	<p><i>Ensures that subject teachers access awarding body training information, practice materials etc.</i> <i>Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification</i> <i>Samples assessment criteria in the centre set task</i></p>	HOF
Candidates do not understand the marking criteria and what they need to do to gain credit	<p><i>A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates</i> <i>Records confirm all candidates understand the marking criteria</i> <i>Candidates confirm/record they understand the marking criteria</i></p>	HOF Subject Teacher
Subject teacher long term absence during the task setting stage	<p><i>The task setting would be overseen by the HOF or AHOF to ensure compliance with JCQ regulations.</i></p>	HOF
Issuing of tasks		
Awarding body set task not issued to candidates on time	<p><i>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course</i></p>	HOF

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	<i>Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching</i>	Subject Teacher
The wrong task is given to candidates	<i>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates Awarding body guidance sought where this issue remains unresolved</i>	HOF Subject Teacher
Subject teacher long term absence during the issuing of tasks stage	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle</i>	HOF
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded	<i>Ensures the candidate's presentation does not form part of the sample which will be recorded Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample</i>	HOF Exams Officer
Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities	<i>Assessment plan identified for the start of the course Assessment dates/periods included in centre wide calendar</i>	Exams Officer HOF Subject Teacher
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	<i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course Staggered sessions arranged where IT facilities insufficient for number of candidates Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</i>	Exams Officer
Insufficient supervision of candidates to enable work to be authenticated	<i>Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</i>	HOF Subject Teacher
A candidate is suspected of malpractice prior to submitting their work for assessment	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed An internal investigation and where appropriate internal disciplinary procedures are followed</i>	Senior Leader Exams Officer HOF
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate</i>	SENCo Exams Officer
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	<i>Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</i>	HOF Subject Teacher

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	<p><i>Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component</i></p> <p><i>Candidate confirms/records advice and feedback given prior to starting on their work</i></p>	
<p>Candidate claims no advice and feedback given by subject teacher during the task-taking stage</p>	<p><i>Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures</i></p> <p><i>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</i></p> <p><i>Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component</i></p> <p><i>Candidate confirms/records advice and feedback given during the task-taking stage</i></p>	<p>HOF</p> <p>Subject Teacher</p>
<p>A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification</p>	<p><i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant</i></p> <p><i>Records as detailed above are provided to confirm all assistance given</i></p> <p><i>Where appropriate, a suspected malpractice report is submitted to the awarding body</i></p>	<p>Senior Leader</p> <p>HOF</p> <p>Exams Officer</p>
<p>Candidate does not reference information from published source</p>	<p><i>Candidate is advised at a general level to reference information before work is submitted for formal assessment</i></p> <p><i>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</i></p> <p><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i></p>	<p>HOF</p> <p>Subject Teacher</p>
<p>Candidate does not set out references as required</p>	<p><i>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment</i></p> <p><i>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</i></p> <p><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i></p>	<p>HOF</p> <p>Subject Teacher</p>
<p>Candidate joins the course late after formally supervised task taking has started</p>	<p><i>A separate supervised session(s) is arranged for the candidate to catch up</i></p>	<p>HOF</p> <p>Subject Teacher</p>
<p>Candidate moves to another centre during the course</p>	<p><i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i></p>	<p>HOF</p>
<p>An excluded pupil wants to complete a non-examination assessment(s)</p>	<p><i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education</i></p> <p><i>If so, arrangements for supervision, authentication and marking are made separately for the candidate</i></p>	<p>HOF</p>
<p>Resources</p>		
<p>A candidate augments notes and resources between formally supervised sessions</p>	<p><i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions</i></p> <p><i>Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions</i></p>	<p>HOF</p> <p>Subject Teacher</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	<i>Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</i>	
A candidate fails to acknowledge sources on work that is submitted for assessment	<i>Candidate's detailed record of his/her own research, planning, resources etc. is checked to confirm all the sources used, including books, websites and audio/visual resources Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately Where confirmation is unavailable from candidate's records, awarding body guidance is sought and/or a mark of zero is submitted to the awarding body for the candidate</i>	Subject Teacher
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	<i>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory Where limits are for guidance only, candidates are discouraged from exceeding them Candidates confirm/record any information provided to them on word or time limits is known and understood</i>	HOF Subject Teacher
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	<i>Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved</i>	HOF Subject Teacher
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment Candidate plagiarises other material	<i>Records confirm subject staff have been made aware of the JCQ document Notice to Centres - Sharing NEA material and candidates' work Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body</i>	HOF Senior Leader
Candidate does not sign their authentication statement/declaration	<i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record they understand what they need to do to comply with the regulations as outlined in the JCQ document Information for candidates: non-examination assessments Declaration is checked for signature before accepting the work of a candidate for formal assessment</i>	Subject Teacher
Subject teacher not available to sign authentication forms	<i>Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures</i>	Subject Teacher
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	<i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i>	Subject Teacher
Keeping materials secure		

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Candidates work between formal supervised sessions is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage</i>	HOF
Adequate secure storage not available to subject teacher	<i>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course Alternative secure storage sourced where required</i>	Subject Teacher
Candidates work produced electronically is not securely stored	<i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments Internal processes and regular monitoring/internal audit by IT Manager ensures:</i> <ul style="list-style-type: none"> • <i>access to this material is restricted (insert how)</i> • <i>appropriate security safeguards are in place (insert names/types of protection)</i> • <i>an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained (insert details of how work is backed up)</i> • <i>any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it (insert relevant details of how)</i> 	IT Manager HOF
Task marking – externally assessed components		
A candidate is absent on the day of the examiner visit for an acceptable reason	<i>Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>	HOF Exams Officer
A candidate is absent on the day of the examiner visit for an unacceptable reason	<i>The candidate is marked absent on the attendance register</i>	Subject Teacher
Task marking – internally assessed components		
A candidate submits little or no work	<i>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body</i>	Subject Teacher
A candidate is unable to finish their work for unforeseen reason	<i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work</i>	Subject Teacher Exams Officer
The work of a candidate is lost or damaged	<i>Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work</i>	Subject Teacher Exams Officer
Candidate malpractice is discovered	<i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed Investigation and reporting procedures in the current JCQ publication Suspected Malpractice: Policies and Procedures are followed Appropriate internal disciplinary procedures are also followed</i>	Senior Leader HOF

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
A teacher marks the work of a candidate with whom they have a close relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)	<p><i>A conflict of interest is declared by informing the awarding body that a teacher is preparing/teaching said child at the start of the course</i></p> <p><i>Marked work of said child is submitted for moderation whether part of the sample requested or not</i></p>	<p>Senior Leader</p> <p>HOF</p> <p>Subject Teacher</p>
An extension to the deadline for submission of marks is required for a legitimate reason	<p><i>Awarding body is contacted to determine if an extension can be granted</i></p> <p><i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension</i></p>	<p>Exams Officer</p> <p>HOF</p> <p>Subject Teacher</p>
After submission of marks, it is discovered that the wrong task was given to candidates	<p><i>Awarding body is contacted for guidance</i></p> <p><i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i></p>	<p>Senior Leader</p> <p>Exams Officer</p> <p>HOF</p>
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	<p><i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body</i></p> <p><i>Records confirm candidates have been informed of their marks</i></p> <p><i>Candidates are informed that these marks are subject to change through the awarding body's moderation process</i></p> <p><i>Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks</i></p> <p><i>Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body</i></p>	<p>Exams Officer</p> <p>HOF</p>
Deadline for submitting work for formal assessment not met by candidate	<p><i>Records confirm deadlines given and understood by candidates at the start of the course</i></p> <p><i>Candidates confirm/record deadlines known and understood</i></p> <p><i>Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met</i></p> <p><i>Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate</i></p>	<p>Exams Officer</p> <p>HOF</p>
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<p><i>Internal/external deadlines are published at the start of each academic year</i></p> <p><i>Reminders are issued through senior leaders/subject heads as deadlines approach</i></p> <p><i>Records confirm deadlines known and understood by subject teachers</i></p> <p><i>Where appropriate, internal disciplinary procedures are followed</i></p>	<p>Exams Officer</p> <p>HOF</p> <p>Subject Teacher</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Subject teacher long term absence during the marking period	<i>See centre's Exam Contingency Plan (Teaching staff extended absence at key points in the exam cycle)</i>	Senior Leader Exams Officer HOF

Policy Review

This controlled assessment policy will be reviewed by the Head of Centre, Senior Leader for Examinations and the Examinations Officer annually.

This policy is next due for review on 1st July 2023

_____ Head of Centre

_____ Senior Leader Examinations

_____ Examinations Officer