



Non-Examination Assessment Policy

Ref: E004

This policy applies to all individuals on the school site/premises

Contents

1. What does this policy effect?
2. Purpose of the policy
3. What are non-examination assessments?
4. Procedures for planning and managing non-examination assessments and identifying staff roles and responsibilities.
5. Management of issues and potential risks associated with non-examination assessments.

Document Control	
Title	E004 Non-Examination Assessment Policy
Date	October 2023
Supersedes	October 2022
Amendments	Amendments linked to changes in JCQ requirements and changes in national examination and assessment policy.
Related Policies/Guidance	E001 Examinations Policy E002 Examinations Access Arrangements/Disability in Exams Policy E003 Emergencies in Exams Policy E005 Enquiries about results and appeals procedures E006 GDPR Exams Policy E007 Internal Appeals Procedures
Review	1 year
Author	A O'Connell, J. Dawson
Date consultation completed	
Date adopted by Trust Board	

Prospere Learning Trust is a Multi Academy Trust
 Registered in England and Wales number 10872612
 Registered Office: Firbank Road, Manchester, M23 2YS

1. What does this policy affect?

This policy affects the delivery of subjects of reformed GCE and GCSE qualifications which contain a component(s) of non-examination assessment (NEA).

*“The regulator’s definition of an examination is very narrow. In effect any type of assessment that **is not**:*

- *Set by an awarding body*
- *designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and*
- *taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment)*

is classified as non-examination assessment (NEA)

‘NEA’ therefore includes, but is not limited to, internal assessment. Externally marked and/or externally set practical examinations taken at different times across centres are classified as ‘NEA’.”

[Definition taken directly from the JCQ publication [Instructions for conducting non-examination assessments, Foreword](#)]

2. Purpose of the policy

The purpose of this policy, as defined by JCQ, is to:

- cover procedures for planning and managing NEA.
- define staff roles and responsibilities for NEA.
- manage risks associated with NEA.

3. What are non-examination assessments?

The JCQ states that:

“Non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers.

There are three assessment stages and rules which apply to each stage. These rules often vary across subjects. The stages are:

- *task setting;*
- *task taking;*
- *task marking.”*

4. Procedures for planning and managing non-examination assessments identifying staff roles and responsibilities

4.1 The basic principles

Head of centre

- Returns a declaration (National Centre Number Register annual update) to confirm awareness of, and that the relevant centre staff are adhering to the latest version of NEA.
- Ensures that the centre's NEA policy is fit for purpose and covers all types of NEA.
- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking.

Senior Leaders

- Ensure the correct conduct of all NEAs (including endorsements) which comply with JCQ regulations and awarding body subject-specific instructions.
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year.
- Where applicable, liaise with all relevant parties in relation to arrangements for, and conduct of, the monitoring visit for GCSE (9-1) Computer Science.

Curriculum Leader

- Ensures that appropriate awarding body forms and templates for NEA (including endorsements) 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 criteria.
- Ensures appropriate centre-devised templates are provided to capture/record relevant information given to candidates by subject teachers.
- Ensures appropriate centre-devised templates are provided to capture/record relevant information is received and understood by candidates.
- Where not provided by the awarding body, ensures a centre-devised template is provided for candidates to keep a detailed record of their own research, planning, resources etc.
- Ensures subject teachers understand their role and responsibilities within the NEA process.
- Ensures JCQ regulations and relevant awarding body subject specific instructions are followed in relation to the conduct of NEA (including endorsements).
- Works with Senior Leaders/Exams Manager to ensure appropriate procedures are followed to internally standardise/verify the marks awarded.

Subject teacher

- Understands and complies with the general instructions as detailed by the JCQ.
- Where these may also be provided by the awarding body, understands and complies with the awarding body's specification for conducting NEA, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Marks internally assessed work to the criteria provided by the awarding body.
- Ensures the exams officer is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code or is made as a separate unit entry code) to the internal deadline for entries.

Exams Manager

- Signposts the annually updated JCQ publication *Instructions for conducting non-examination assessments* to relevant centre staff.
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment.

4.2 Task setting**Curriculum Leader**

- Selects tasks from a choice provided by the awarding body OR designs tasks where this is permitted by criteria set out within the subject specification.
- Makes candidates aware of the criteria used to assess their work.

4.2.1 Issuing of tasks**Curriculum Leader**

- Determines when set tasks are issued by the awarding body.
- Identifies date(s) when tasks should be taken by candidates.
- Accesses set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times.
- Ensures requirements for legacy specification tasks and new specification tasks are distinguished between.
- Ensures subject teachers are aware of their Task Taking role (see section 4.3).

4.3 Task taking**4.3.1 Supervision****Subject teacher**

- Ensures the correct task is issued to candidates.
- Ensures candidates take tasks under the required conditions and supervision arrangements as set out by the relevant awarding body.
- 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.
- Where candidates may work in groups, keeps a record of each candidate's contribution and it must be possible to attribute assessable outcomes to individual candidates.
- Ensures candidates are aware of the 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'* documents.

4.3.2 Advice and feedback

Subject teacher

- Advises candidates on relevant aspects before they begin working on a task.
- Will not provide candidates with model answers or writing frames specific to the task
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates.
- Allow candidates to revise and re-draft work after advice has been given at a general level.
- Records any assistance given beyond general advice and takes it into account in the marking or submits it to the external examiner.
- Ensures when work has been assessed, candidates are not allowed to revise it.

4.3.3 Resources

Subject teacher

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks.
- Ensures conditions for any formally supervised sessions are known and put in place.
- Ensures conditions for any formally supervised sessions are understood and followed by candidates.
- Ensures candidates understand that they are not allowed to introduce augmented 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.

4.3.4 Word and time limits

Subject teacher

- Refers to the awarding body's specification to determine where word and time limits apply/are mandatory.

4.3.5 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 that it is possible to attribute 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 individually.

4.3.6 Authentication procedures**Curriculum Leader**

- Supports the subject teacher in the following procedures and ensures secure stores of information/work centrally.

Subject teacher

- Ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work.
- Signs the teacher declaration of authentication confirming the requirements have been met.
- Keeps signed candidate declarations on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector.
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information set out by the JCQ and informs the Curriculum Leader and Exams Manager.

4.3.7 Presentation of work**Subject teacher**

- Ensures that school holds consent for sharing of printed/digital images from parents/carers if videos or photographs of candidates will be included as evidence of participation or contribution.
- Instructs candidates to present work as detailed by the JCQ 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 a header/footer on each page of their work.

4.3.8 Keeping materials secure

Curriculum Leader

- Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically.
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the Centre.

Subject teacher

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session).
- When work is submitted by candidates for final assessment, ensures work is securely stored.
- Follows secure storage instructions as defined in by the JCQ.
- Takes sensible precautions when work is taken home for marking.
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line on social media or through any other means.

IT Manager

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically.

4.4 Task marking – internally assessed components

4.4.1 Marking and annotation

Subject teacher

- Attends awarding body training as required to ensure familiarity with the mark scheme/marketing process.
- Marks candidates' work in accordance with the marking criteria provided by the awarding body.
- Annotates candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria.
- Informs candidates of their marks which could be subject to change by the awarding body moderation process.
- Ensures candidates are informed to the timescale indicated in the centre's *internal appeals procedure* to enable an internal appeal/request for a review of marking to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body.

4.4.2 Internal standardisation

Curriculum Leader

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence.
- Supports staff not familiar with the mark scheme (e.g. NQTs, supply staff etc.)
- Ensures accurate internal standardisation - for example by;
 - obtaining reference materials at an early stage in the course.
 - holding a preliminary trial marking session prior to marking.
 - carrying out further trial marking at appropriate points during the marking period.
 - after most marking has been completed, holds a further meeting to make final adjustments.
 - making final adjustments to marks prior to submission.
 - retaining work and evidence of standardisation.

Subject teacher

- Indicates on work (or cover sheet) the date of marking.
- Marks to common standards.

4.5 Conduct of externally assessed work

Curriculum Leader

- Liaises with the Exams Manager regarding arrangements for the conduct of any externally assessed components of a specification which must be conducted within a window of dates specified by the awarding body and where applicable, according to JCQ *Instructions for conducting examinations*.
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component.

Exams Manager

- Advises subject staff of the window in which the NEA must be conducted.
- Advises subject staff of the associated deadlines.
- Ensures that all externally assessed components are conducted within the window specified by the Awarding Body and where applicable, according to the JCQ regulations.

4.5.1 Submission of externally assessed work

Subject teacher

- Pays close attention to the completion of the attendance register, if applicable.

Exams Manager

- Provides the attendance register to the subject teacher where applicable.
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly.

- Where candidates' work must be despatched to an awarding body's examiner, or uploaded electronically, ensures this is completed by the date specified by the awarding body.
- Keeps a copy of the attendance register until after the deadline for enquiries about results for the exam series.
- Packages the work as required by the awarding body and attaches the examiner address label.
- Despatches the work to the awarding body's instructions by the required deadline.

4.6 Consortium arrangements

Head of centre

- Makes every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate, for example, members of their family (which includes stepfamily, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter).
- Where this cannot be avoided, ensures the possible conflict of interest is declared to the relevant awarding body and the marked work is submitted for moderation whether or not it is part of the moderation sample.

Curriculum Leader

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead).
- Liaises with the Exams Manager to ensure form JCQ/CCA is submitted to the awarding body for each exam series affected.
- Ensures procedures for internal standardisation as a consortium are followed.
- Provides marks to the Exams Manager by the internal deadline.
- Provides the moderation sample to the Exams Manager by the internal deadline.

Subject teacher

- Provides marks to the Curriculum Leader in order that they can meet the internal deadlines

Exams Manager

- Arranges completion of form JCQ/CCA (*Centre consortium arrangements for centre - assessed work*)
- Submits form JCQ/CCA by the deadline for each exam series affected
- Submits marks by the awarding body deadline
- Where relevant, liaises with other consortium exams managers to arrange despatch of a single moderation sample by the awarding body deadline

- Where relevant (as the consortium lead), retains all candidates' work in the consortium until after the deadline for enquiries about results for the exam series

4.7 Submission of marks and work for moderation

Curriculum Leader

- Inputs marks online via Arbor or the awarding body secure extranet site by the internal deadline.
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are inputted.
- Forwards the requested samples of candidates' work to the Exams Manager by the internal deadline, keeping a record of the work submitted.
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required.

Exams Manager

- Submits marks online via the awarding body secure extranet site, keeping a record of the marks submitted to the external deadline by the external deadlines.
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors.
- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted by the external deadlines.
- Ensures that for postal moderation;
 - work is dispatched in packaging provided by the awarding body,
 - moderator label(s) provided by the awarding body are affixed to the packaging,
 - proof of dispatch is obtained and kept on file until the successful issue of final results.
- Ensures that the subject staff have provided the moderator with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required.

4.7.1 Storage and retention of work after submission of marks

Curriculum Leader

- 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.
- Liaise with IT technicians to ensure they take steps to protect any work stored electronically from corruption and have a back-up procedure in place.

- Retains evidence of work where retention may be a problem (for example, photos of artefacts etc.)

Exams Manager

- Ensures any sample returned after moderation is logged and returned to the Curriculum Leader for secure storage and required retention.

4.7.2 External moderation - feedback

Curriculum Leader

- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next examination series.

Exams Manager

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

4.8 Special Arrangements

4.8.1 Access Arrangements and reasonable adjustments

Subject teacher

- Liaises with the Access and Achievement department to ensure any access arrangements for eligible candidates are applied to assessments.

Special Educational Needs Coordinator (SENCo)

- Follows the regulations and guidance in the JCQ publication, [Access Arrangements and Reasonable Adjustments](#).
- Where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, will ensure access arrangements are in place and awarding body approval, where required, has been obtained prior to assessments taking place.
- Makes subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments.
- Works with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met.
- Ensures that staff acting as an access arrangement facilitator are fully trained in their role.

4.8.2 Special consideration

Head of Year/Senior Staff/Curriculum Leader

- Provides information/evidence to the Exams Manager so that a full application can be made.

Subject teacher

- Understands 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 Manager when special consideration may need to be applied for a candidate taking assessments.

Exams Manager

- Refers to/directs relevant staff to the JCQ publication, *A guide to the special consideration process*.
- Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale.
- Where application for special consideration via the awarding body's secure extranet site is not applicable, submits the required form to the awarding body to the prescribed timescale.
- Keeps required evidence on file to support the application.

4.9 Malpractice

Head of Centre

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff.
- Is familiar with the JCQ publication, *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*.
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself.

Curriculum Leader/Subject teacher

- Is aware of the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work*.

- Ensures candidates understand the JCQ document *Information for candidates - non-examination assessments*.
- Ensures candidates understand the JCQ document *Information for candidates - Social Media*.
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the Head of Centre.

Exams Manager

- Signposts the JCQ publication, *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* to the Head of Centre.
- Signposts the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work* to Curriculum Leaders.
- Signposts candidates to the relevant JCQ Information for Candidates documents.
- Where required, supports the Head of Centre in investigating and reporting incidents of alleged, suspected or actual malpractice.

4.10 Enquiries about results

Head of Centre

- Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support a clerical check, a review of marking, a review of moderation or an appeal.

Curriculum Leader

- Provides relevant support to subject teachers making decisions about enquiries about results.

Subject teacher

- Provides advice and guidance to candidates on their results and the post-results services available.
- Provides the Exams Manager with the original sample or relevant sample of candidates' work that may be required for an enquiry about results by the internal deadline.
- Supports the Exams Manager in collecting candidate consent where required.

Exams Officer

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed by the JCQ.
- Provides/signposts 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.

- Collects candidate consent where required.

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

Head of Centre

- Provides a signed declaration as part of the National Centre Number Register Annual Update, 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.

Curriculum Leader

- Ensures the appropriate arrangements are in place for internal standardisation of assessments.
- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England*.
- 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 Manager

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

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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Task setting		
Awarding body set task: IT failure/corruption of task details where accessed from the awarding body online.	<i>Awarding body key date for accessing/downloading set task noted prior to start of course. IT systems checked prior to key date. Alternative IT system used to gain access. Awarding body contacted to request direct email of task details.</i>	IT Manager/ Exams Manager
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification.	<i>Ensures that subject teachers access awarding body training information, practice materials etc. Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification. Moderation of work, where appropriate, must be recorded.</i>	Curriculum Leader
Candidates do not understand the marking criteria and what they need to do to gain credit.	<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. Records confirm all candidates understand the marking criteria. Candidates confirm/record they understand the marking criteria.</i>	Subject teacher
Subject teacher long term absence during the task setting stage.	<i>See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle.</i>	Curriculum Leader
Issuing of tasks		
Task for legacy specification given to candidates undertaking new specification.	<i>Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications. Awarding body guidance sought where this issue remains unresolved.</i>	Curriculum Leader/ Exams Manager
Awarding body set task not issued to candidates on time.	<i>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course. 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>	Curriculum Leader/ Exams Manager
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>	Curriculum Leader/ Exams Manager
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>	Curriculum Leader
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>	Senior Leader/ Curriculum Leader
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 Manager/ IT Manager/ Site Manager
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.</i>	Senior Leaders/ Curriculum Leader

	<i>Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy.</i>	
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 Leaders/ Curriculum Leader/ Exams Manager
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>	Exams Manager
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work.	<i>Ensures a process is in place for subject teachers to record all information provided to candidates before work begins as part of the quality assurance procedures. Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity. Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component Candidate confirms/records advice and feedback given prior to starting on their work.</i>	Senior Leaders/ Curriculum Leader
Candidate claims no advice and feedback given by subject teacher during the task-taking stage.	<i>Ensures a 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 quality assurance procedures. Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity. Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component Candidate confirms/records advice and feedback given during the task-taking stage.</i>	Senior Leaders/ Curriculum Leader
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification.	<i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant. Records as detailed above are provided to confirm all assistance given Where appropriate, a suspected malpractice report is submitted to the awarding body.</i>	Head of Centre/ Senior Leaders
Candidate does not reference information from published source.	<i>Candidate is advised at a general level to reference information before work is submitted for formal assessment. Candidate is again referred to the JCQ document Information for candidates: non-examination assessments. Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion.</i>	Subject teacher
Candidate does not set out references as required.	<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. Candidate is again referred to the JCQ document Information for candidates: non-examination assessments. Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion.</i>	Subject teacher
Candidate joins the course late after formally supervised task taking has started.	<i>A separate supervised session(s) is arranged for the candidate to catch up.</i>	Senior Leaders/ Curriculum Leader

Candidate moves to another centre during the course.	<i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place.</i>	Exams Manager
An excluded student wants to complete his/her non-examination assessment(s).	<i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education If so, arrangements for supervision, authentication and marking are made separately for the candidate.</i>	Senior Leaders/ Exams Manager
Resources		
A candidate augments notes and resources between formally supervised sessions.	<i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions. Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions. Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions.</i>	Curriculum Leader/ IT Manager
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>	Curriculum Leader/ Exams Manager
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>	Curriculum Leader/ 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>	Exams Manager
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment.	<i>Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work. Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments.</i>	Curriculum Leader/ Exams Manager/ Senior Leader
Candidate plagiarises other material.	<i>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>	Head of Centre/ 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/ Curriculum Leader

Subject teacher not available to sign authentication forms.	<i>Ensures a 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>	Curriculum Leader
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/ Curriculum Leader
Keeping materials secure		
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 ensures subject teacher use of appropriate secure storage.</i>	Curriculum Leader/ Senior Leader
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>	Curriculum Leader/ Estates Manager
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>	Exams Manager
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>	Exams Manager/ Senior Leader
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>	Exams Manager
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>	Exams Manager
The work of a candidate is lost or damaged.	<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 lost or damaged work.</i>	Exams Manager/ Curriculum Leader
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 in Examinations and Assessments are followed Appropriate internal disciplinary procedures are also followed.</i>	Senior Leader/ Head of Centre/ Exams Manager
A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their family (which includes stepfamily, foster family and similar close relationships) or close friends and their	<i>A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series Marked work of said candidate is submitted for moderation whether part of the sample requested or not.</i>	Curriculum Leader/ Exams Manager

immediate family (e.g. son/daughter).		
An extension to the deadline for submission of marks is required for a legitimate reason.	<i>Awarding body is contacted to determine if an extension can be granted 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>	Exams Manager
After submission of marks, it is discovered that the wrong task was given to candidates.	<i>Awarding body is contacted for guidance. 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>	Exams Manager
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher.	<i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body. Records confirm candidates have been informed of their marks. Candidates are informed that these marks are subject to change through the awarding body's moderation process. 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. Through the school website, 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>	Subject Teacher/ Curriculum Leader
Deadline for submitting work for formal assessment not met by candidate.	<i>Records confirm deadlines given and understood by candidates at the start of the course. Candidates confirm/record deadlines known and understood. 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. 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>	Subject Teacher/ Curriculum Leader
Deadline for submitting marks and samples of candidates' work ignored by subject teacher.	<i>Internal/external deadlines are published at the start of each academic year. Reminders are issued through senior leaders/subject heads as deadlines approach. Records confirm deadlines known and understood by subject teachers. Where appropriate, internal disciplinary procedures are followed.</i>	Senior Leader/ Curriculum Leader
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>	Curriculum Leader