

Non-Examination Assessment Policy

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POLICY INFORMATION

This policy is reviewed and updated annually to ensure that non-examination assessments at Richard Barnes Academy are planned for and managed in accordance with current requirements and regulations.

References in this policy to NEA refers to the JCQ publication **Instructions for conducting non-examination assessments**.

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 (NEA, section 1)

The regulator's definition of an examination is very narrow. In effect, any type of assessment that is not 'externally set and taken by candidates at the same time under controlled conditions' 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'. (NEA, Foreword).

PURPOSE OF THIS POLICY

The purpose of this policy is to confirm that Thomas Deacon Academy adheres to JCQ regulations relating to non-examination assessments by:

- covering procedures for planning and managing non-examination assessments
- defining staff roles and responsibilities with respect to non-examination assessments
- managing risks associated with non-examination assessments

This policy covers all types of non-examination assessment. (NEA, section 1)

PROCEDURES FOR PLANNING AND MANAGING NON-EXAMINATION ASSESSMENTS IDENTIFYING STAFF ROLES AND RESPONSIBILITIES

1. THE BASIC PRINCIPLES

Head of centre role and responsibilities:

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 **Instructions for conducting non-examination assessments**, confirming:

- 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 (GCSE English Language) Spoken Language endorsement.
- (where relevant to the centre) 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 (A Level Sciences) prescribed practical activities.
- Ensures the centre's **Non-examination Assessment Policy** is fit for purpose and covers all types of nonexamination assessment.
- Ensures the centre's **internal appeals procedure** clearly details the process 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 leader role and responsibilities:

- Ensure the correct conduct of non-examination assessments (including endorsements) which comply with the JCQ publication **Instructions for conducting non-examination assessments** and awarding body subject-specific instructions.
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year.

QA lead/Lead internal verifier role and responsibilities:

- Confirm with subject heads that appropriate awarding body forms and templates for non-examination assessments (including endorsements) are used by teachers and candidates.
- Ensure appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body criteria.
- Ensure appropriate centre-devised templates are provided to capture/record relevant information given to candidates by subject teachers.
- Ensure appropriate centre-devised templates are provided to capture/record relevant information is received and understood by candidates.

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

Subject lead role and responsibilities:

- Ensure subject teachers understand their role and responsibilities within the non-examination assessment process.
- Ensure the JCQ publication **Instructions for conducting non-examination assessments** and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments (including endorsements).

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 teacher role and responsibilities:

- Understand and comply with the general instructions as detailed in the JCQ publication **Instructions for conducting non-examination assessments**.
- Where these may also be provided by the awarding body, understand and comply 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.
- Mark internally assessed work to the criteria provided by the awarding body.
- Ensure 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 for the qualification or is made as a separate unit entry code) to the internal deadline for entries.

Exams office/officer role and responsibilities:

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

2. TASK SETTING

Subject teacher role and responsibilities:

- Select 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 within the subject specification.
- Make candidates aware of the criteria used to assess their work.

Issuing of tasks

Subject teacher role and responsibilities:

- Determine when set tasks are issued by the awarding body.
- Identify date(s) when tasks should be taken by candidates.
- Access set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times.

2. TASK TAKING

Supervision

Subject teacher role and responsibilities:

- Check the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements.
- Ensure there is sufficient supervision to enable the work of a candidate to be authenticated.
- Ensure there is sufficient supervision to ensure the work a candidate submits is their own.
- To ensure that where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own.
- Where candidates may work in groups, keep a record of each candidate's contribution and it must be possible to attribute assessable outcomes to individual candidates.
- Ensure candidates are aware of the current JCQ documents **Information for candidates – non-examination assessments** and **Information for candidates - Social media**.
- Ensure candidates understand and comply with the regulations in relevant JCQ **Information for candidates** documents.
- Ensure candidates:
 - understand that information from all sources must be referenced.
 - receive guidance on setting out references.
 - are aware that they must not plagiarise other material.

ADVICE AND FEEDBACK

Subject teacher role and responsibilities:

- As relevant to the subject/component, advise candidates on relevant aspects before candidates 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, provide 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.
- Record any assistance given beyond general advice and takes it into account in the marking or submits it to the external examiner.
- Ensure when work has been assessed, candidates are not allowed to revise it.

RESOURCES

Subject teacher role and responsibilities:

- Refer 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.
- Refer to the JCQ document **AI Use in Assessments: Protecting the Integrity of Qualifications** (www.jcq.org.uk/exams-office/malpractice) as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator.
- By referencing this document, makes candidates aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment.
- Ensure conditions for any formally supervised sessions are known and put in place.
- Ensure appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically.
- Ensure conditions for any formally supervised sessions are understood and followed by candidates.
- Ensure candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions.
- Ensure that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

WORD AND TIME LIMITS

Subject teacher role and responsibilities:

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

COLLABORATION AND GROUP WORK

Subject teacher role and responsibilities:

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

AUTHENTICATION PROCEDURES

Subject teacher role and responsibilities:

Where required by the awarding body's specification:

- ensure candidates sign a declaration confirming the work they submit for final assessment is their own unaided work.
- sign the teacher declaration of authentication confirming the requirements have been met.
- Keep signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
- Provide signed candidate declarations where these may be requested by a JCQ Centre Inspector (Electronic signatures are acceptable).
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follow the authentication procedures and malpractice information in the JCQ publications **Instructions for conducting non-examination assessments** and inform a member of the senior leadership team.
- Understand that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero.

PRESENTATION OF WORK

Subject teacher role and responsibilities:

- Obtain informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution.
- Instruct candidates to present work as detailed in the JCQ publication **Instructions for conducting non-examination assessments** unless the awarding body's specification gives different subject-specific instructions.

- Instruct 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.
- Ensures if candidates' work is to be submitted electronically, that it meets the awarding body's specified requirements.

KEEPING MATERIALS SECURE

Subject teacher role and responsibilities:

- When work is being undertaken by candidates under formal supervision, ensure work is securely stored between sessions (if more than one session).
- When work is submitted by candidates for final assessment, ensure work is securely stored.
- Follow secure storage instructions as defined in the JCQ publication **Instructions for conducting non-examination assessments**.
- Take sensible precautions when work is taken home for marking.
- Store internally assessed work, including the sample returned after awarding body moderation, securely until all possible post-results services have been exhausted.
- If post-results services have not been requested, return internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series.
- If post-results services have been requested, return internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed.
- Remind 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 (Remind candidates of the contents of the JCQ document **Information for candidates - Social Media**).
- Where work is stored electronically, liaise with IT to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions.
- Understands 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 role and responsibilities:

- Ensure appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically.
- Restrict access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software.
- Employ an effective back-up strategy so that an up-to-date archive of candidates' evidence is maintained.

- Consider encrypting any sensitive digital media to ensure the security of the data stored within it and refers to awarding body guidance to ensure that the method of encryption is suitable.

3. TASK MARKING – EXTERNALLY ASSESSED COMPONENTS

CONDUCT OF EXTERNALLY ASSESSED WORK

Subject teacher role and responsibilities:

- Liaise with the exams officer regarding the arrangements for 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 the JCQ publication **Instructions for conducting examinations**.
- Liaise with the Visiting Examiner where this may be applicable to any externally assessed component.

Exams office/officer role and responsibilities:

- Arrange timetabling, rooming and invigilation where and if this is applicable to any externally assessed non-examination component of a specification.
- Conduct the externally assessed component within the window specified by the awarding body and where applicable, according to JCQ publication **Instructions for conducting examinations**.

SUBMISSION OF WORK

Subject teacher role and responsibilities:

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

Exams office/officer role and responsibilities:

- Provide the attendance register to the subject teacher where applicable.
- Ensure 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.

- Keep a copy of the attendance register until after the deadline for reviews of results for the exam series.
- Package the work as required by the awarding body and attaches the examiner address label.
- Ensure that the package in which the work is despatched is robust and securely fastened.
- Despatch the work to the awarding body's instructions by the required deadline.

4. TASK MARKING – INTERNALLY ASSESSED COMPONENTS

MARKING AND ANNOTATION

Head of centre role and responsibilities:

- 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 step-family, 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.

Subject lead role and responsibilities:

- Set timescales for teachers to inform candidates of their centre-assessed marks that will allow sufficient time for a candidate to appeal an internal assessment decision/request a review of the centre's marking prior to the marks being submitted to the awarding body external deadline.

Subject teacher role and responsibilities:

- Attend/access awarding body training/updates as required to ensure familiarity with the mark scheme/marketing process.
- Mark candidates' work in accordance with the marking criteria provided by the awarding body.
- Annotate 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.
- Inform candidates of their marks which could be subject to change by the awarding body moderation process.
- Ensure candidates are informed of the timescale set by the subject lead or as 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

INTERNAL STANDARDISATION

QA lead/Lead internal verifier role and responsibilities:

- Ensure that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence.
- Support staff not familiar with the mark scheme (e.g. ECTs, supply staff etc.)

Ensure 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.
- Retain evidence that internal standardisation has been carried out.

Subject teacher role and responsibilities:

- Indicate on work (or cover sheet) the date of marking.
- Mark to common standards.
- Keep candidates work secure until after the closing date for review of results for the series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

SUBMISSION OF MARKS AND WORK FOR MODERATION

Subject teacher role and responsibilities:

- Input and submit marks online, via the awarding body secure extranet site, keeping a record of the marks awarded, to the external deadline/Provides marks to the exams officer to the internal deadline.
- Where responsible for marks input, ensure checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors.
- Submit the requested samples of candidates' work to the awarding body moderator by the external deadline, keeping a record of the work submitted/Provides the moderation sample to the exams officer to the internal deadline.
- Ensure that where a candidate's work has been facilitated by a scribe or practical assistant, the relevant completed cover sheet is securely attached to the front of the work and sent to the moderator in addition to the sample requested.
- Ensure 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.
- Submit any supporting documentation required by the awarding body/Provide the exams officer with any supporting documentation required by the awarding body.

Exams office/officer role and responsibilities:

- Input and submit marks online, via the awarding body secure extranet site, keeping a record of the marks submitted, to the external deadline/Confirm with subject teachers that marks have been submitted by the awarding body deadline.
- Where responsible for marks input, ensure checks are made that marks for any additional candidates are submitted and ensure 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/Confirms with subject teacher that the moderation sample has been submitted to the awarding body deadline Ensure 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.
- 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 this may be required.
- Through the subject teacher, submit any supporting documentation required by the awarding body.

STORAGE AND RETENTION OF WORK AFTER SUBMISSION OF MARKS

Subject teacher role and responsibilities:

- Keep a record of names and candidate numbers for candidates whose work was included in the moderation sample.
- Retain all marked candidates' work (including any sample returned after moderation) under secure conditions for the required retention period.
- In liaison with IT, take steps to protect any work stored electronically from corruption and has a back-up procedure in place.
- If retention is a problem because of the nature of the work, retain some form of evidence such as photos, audio or media recordings.

Exams office/officer role and responsibilities:

- Ensure any sample returned after moderation is logged and returned to the subject teacher for secure storage and required retention.

EXTERNAL MODERATION – THE PROCESS

Subject teacher role and responsibilities:

- Ensure that awarding body or its moderator receive the correct samples of candidates' work.
- Where relevant, liaise with the awarding body/moderator where the moderator visits the centre to mark the sample of work.
- Comply with any request from the moderator for remaining work or further evidence of the centre's marking.

EXTERNAL MODERATION - FEEDBACK

Subject lead role and responsibilities:

- Check the final moderated marks when issued to the centre when the results are published.
- Check moderator reports and ensure that any remedial action, if necessary, is undertaken before the next exam series.

Exams office/officer role and responsibilities:

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

5. ACCESS ARRANGEMENTS AND REASONABLE ADJUSTMENTS

Subject teacher role and responsibilities

Work with the ALS lead/SENCo to ensure any access arrangements for eligible candidates are applied to assessments.

ALS lead/SENCo role and responsibilities:

- Follow the regulations and guidance in the JCQ publication **Access Arrangements and Reasonable Adjustments** in relation to non-examination assessments.
- Where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, ensure access arrangements are in place and awarding body approval, where required, has been obtained prior to assessments taking place.
- Make subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments.
- Work with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met.
- Ensure that staff acting as an access arrangement facilitator are fully trained in their role Additional responsibilities:

6. SPECIAL CONSIDERATION AND LOSS OF WORK

Subject teacher role and responsibilities:

- Understand that a candidate may be eligible for special consideration in assessments in certain situations where a candidate is absent and/or produces a reduced quantity of work.
- Liaise with the exams officer when special consideration may need to be applied for a candidate taking assessments.
- Liaise with the exams officer to report loss of work to the awarding body.

Exams office/officer role and responsibilities:

Refer 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.
- Refer to/directs relevant staff where applicable to **Form 15 - JCQ/LCW** (lost work) and where applicable submits to the relevant awarding body.
- NB – Special consideration should only be submitted where an adverse issue or event has happened. Trivial cases do not warrant special consideration.

7. MALPRACTICE

Head of centre role and responsibilities:

- Understand the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates or centre staff.
- Ensures any irregularity identified by the centre before the candidate has signed the authentication statement (where required) are dealt with under its own internal procedures, with no requirement to report the irregularity to the awarding body (The only exception being where the awarding body's confidential assessment materials has been breached, the breach must be report to the awarding body).
- Is familiar with the JCQ publication **Suspected Malpractice: Policies and Procedures**.
- 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 and ensure that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself.

Subject teacher role and responsibilities:

- Is aware of the JCQ **Notice to Centre - Sharing NEA material and candidates' work**.
- Ensure candidates understand what constitutes malpractice in non-examination assessments.
- Ensure candidates understand the JCQ document **Information for candidates - non-examination assessments**.
- Ensure candidates understand the JCQ document **Information for candidates - Social Media**.
- Escalate and report any alleged, suspected or actual incidents of malpractice involving candidates to the head of centre.

Exams office/officer role and responsibilities:

- Signpost the JCQ publication **Suspected Malpractice: Policies and Procedures** to the head of centre.
- Signpost the JCQ **Notice to Centres - Sharing NEA material and candidates' work**.
- Signpost candidates to the relevant JCQ **information for candidates** documents.
- Where required, support the head of centre in investigating and reporting incidents of alleged, suspected or actual malpractice.

8. POST-RESULTS SERVICES

Head of centre role and responsibilities:

- Is familiar with the JCQ publication **Post-Results Services**.
- Ensure the centre's **internal appeals procedure** clearly details the process to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an application for a review of results or an appeal.

Subject lead role and responsibilities:

- Provide relevant support to subject teachers making decisions about reviews of results.

Subject teacher role and responsibilities:

- Provide advice and guidance to candidates on their results and the post-results services available.
- Provide the exams officer with the original sample or relevant sample of candidates' work that may be required for a review of moderation to the internal deadline.

Exams office/officer role and responsibilities:

- 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** (Information and guidance to centres.)
- Provide/signpost relevant centre staff and candidates to post-results services information.

- Ensure 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.

9. ENDORSEMENTS

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

QA lead/Lead internal verifier role and responsibilities:

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

Subject lead role and responsibilities:

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

Subject teacher role and responsibilities:

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

Exams office/officer role and responsibilities:

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

CHANGES 2024/25

Added – special consideration will not be considered for trivial cases and must only be applied for in the case of a serious adverse event.

APPENDIX 2: NEA Risk Management

Example risks and issues	Possible remedial action		Staff
	10. Forward planning	Action	
Timetabling			
Controlled assessment schedule clashes with other activities.	Plan/establish priorities well ahead (e.g., at the start of the academic year)	Plan dates in consultation with school calendar – negotiate with other parties.	VP, EO
Too many controlled assessments close together across GCSE subjects.	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow learners sometime between them	VP, CLs
Accommodation			
Insufficient space in classrooms for learners	Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments	Use more than one classroom or multiple sittings where necessary	CLs, EO
Insufficient facilities for all learners	Careful planning ahead and booking of rooms/centre facilities		CLs
Example risks and issues	Forward Planning	Action	Staff

Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases.	Book IT equipment well ahead and download tasks before scheduled date of assessment	IT Services, CLs
IT Failure/Corruption of task details where set details accessed from the awarding body online.	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.	IT Failure/Corruption of task details where set details accessed from the awarding body online.
Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the controlled assessment schedule	IT Services
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	CLs, EO
Absent Learners			
Learners absent for all or part of assessment (various reasons)	Plan alternative session(s) for learners as long as within awarding body dates		CLs
Example risks and issues	Forward Planning	Action	Staff
Control levels for task taking			

The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	CLs, EO
Supervision			
Learner study diary/plan not provided or completed*	Ensure teaching staff are aware of the need for study diary/plans to be completed early in course	Ensure learners start, continue and complete study diary/plans that are signed after every session	CLs
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments as detailed in the non-examination assessment policy. Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other instructions detailed in the awarding body's specifications.		CLs
Example risks and issues	Forward Planning	Action	Staff
A suitable supervisor has not been arranged for an assessment where teaching staff are not supervising	A suitable supervisor must be arranged for any controlled assessment session where a		EO

	teacher is not supervising, in line with the awarding body's specification		
Task setting			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification**	Seek guidance from the awarding body	CLs
Awarding body set task not issued to candidates on time	<p>Awarding body key dare for accessing set task as detailed in the specification noted prior to the start of the course.</p> <p>Course information issues to candidates contains details when set task will be issued and needs to be completed by _____</p> <p>Set task accessed well in advance to allow time for planning, resourcing and teaching.</p>		CLs
Example risks and issues	Forward Planning	Action	Staff
The wrong task is given to candidates	Ensure information taken from the awarding body's specification confirms the correct task will be issued to candidates.	Seek guidance from the awarding body	CLs

Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately. Ensure subject teachers access any relevant awarding body training information, practice materials etc.	Seek guidance from the awarding body	VP, CLs
Candidates do not understand the marking criteria and what they need to do to gain credit	A simplified version of the awarding body's marking criteria described in the specification is produced for candidates.		CLs
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in understanding a task such as a presentation that may be recorded.	Ensures the candidate's presentation does not form part of the sample which will be recorded.	Contact the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample.	CLs, EO
Example risks and issues	Forward Planning	Action	Staff
Staff Absence			
A subject teacher has a period of long term absence during the task setting stage	See Centre's Examination Contingency Plan (Teaching Staff Extended Absence)		NA
Security of materials			

Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the awarding body to request/obtain different assessment tasks	CLs/EO
Learners' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Seek guidance from the awarding body	CLs/EO
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	CLs/SLT
Deadlines			
Deadlines not met by learners	Ensure all learners are briefed on deadlines and the penalties for not meeting them	Mark what learners have produced by the deadline Seek guidance from awarding body on further action	CLs
Example risks and issues	Forward Planning	Action	Staff
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines)	Seek guidance from awarding body	CLs/AP
Task Marking – Externally Assessed Components			

A candidate is absent on the day of the examiner visit for an acceptable reason		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.	Teacher, EO
A candidate is absent on the day of the examiner visit for an unacceptable reason		The candidate is marked absent on the attendance register.	Teacher, EO
Example risks and issues	Forward Planning	Action	Staff
Task Marking – Internally Assessed Components			
A candidate submits little or no work	Ensure learners are briefed on the requirements and deadline of the task.	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 mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body.	Teachers, CLs, EO

A candidate is unable to finish their work for unforeseen reason		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.	EO
The work of a candidate is lost or damaged		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.	EO
Example risks and issues	Forward Planning	Action	Staff
A teacher assesses the work of a candidate with whom they have a close personal 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)	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 candidates is submitted for moderation whether part of the sample requested or not.	EO, CLs
An extension to the deadline for submission of marks is required for a legitimate reason		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	CLs, EO

		determine eligibility and the process to be followed for non-examination assessment extension.	
Example risks and issues	Forward Planning	Action	Staff
After submission of marks, it is discovered that the wrong task was given to candidates		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.	Teacher, CLs, EO
A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher	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.		Teacher

	<p>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.</p> <p>Through the candidates exam handbook, candidates are made aware of the centre's internal appeals procedure and timescale for submitting and appeal/request for a review of the centre's marking prior to the submission of the marks to the awarding body.</p>		
Example risks and issues	Forward Planning	Action	Staff
Authentication and Presentation			
Learner fails to sign authentication form	<p>Ensure all learners have authentication forms to sign</p> <p>Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking</p>	Find learner and ensure authentication form is signed	CLs

Example risks and issues	Forward Planning	Action	Staff
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature Ensure authentication forms are signed as work is marked	CLs, HR Office
Candidate does not fully complete the awarding body's cover sheet that is attached to their work submitted for formal assessment	Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment		Teacher, EO
Marking			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking Plan for sampling of marking during the practice phase	Arrange for re-marking Consult the awarding body's specification for appropriate procedures	CLs
Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation, i.e., when and how this activity must be conducted.	Check with the awarding body whether a later standardisation event can be arranged	CLs
Example risks and issues	Forward Planning	Action	Staff

Malpractice			
<p>A candidate is suspected of malpractice prior to submitting their work for assessment</p>	<p>Ensure that learners are fully briefed on what constitutes malpractice in non-examination assessments as per the JCQ and relevant awarding body's guidelines.</p>	<p>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (Malpractice section) are followed.</p> <p>An internal investigation and where appropriate internal disciplinary procedures are followed.</p>	<p>Teachers, VP, EO</p>
<p>Candidate malpractice is discovered</p>	<p>Ensure that learners are fully briefed on what constitutes malpractice in non-examination assessments as per the JCQ and relevant awarding body's guidelines.</p>	<p>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed.</p> <p>Investigation and reporting procedures in the current JCQ publication Suspected Malpractice: Policies and Procedures are followed. Appropriate internal disciplinary procedures are also followed.</p>	<p>Teachers, VP, EO</p>

KEY: VP –Vice Principal, SLT – Senior Leadership Team, CL – Curriculum Leads, EO – Exam Officer

* Not all Non Examination Assessments will require the completion of a study diary or study plans

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