EXAMS NON-EXAMINATION ASSESSMENT POLICY

This policy applies to all secondary schools within the Lionheart Educational Trust

Approved by the Trust

October 2024 – October 2025

Contents

1.   Introduction and aims

Some GCE and GCSE qualifications contain a component(s) of non-examination assessment; this is 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.'

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).

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

The purpose of this policy is to cover procedures for planning and managing non-examination assessments including controlled assessments and coursework, define staff roles and responsibilities with respect to non-examination assessments, and manage risks associated with non-examination assessments.

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' 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).

Coursework components assess candidates' skills, knowledge and understanding that may not readily be assessed by timed written papers. Coursework will take many different forms. (ICC 1)

The term coursework is a generic one. It includes the work required in Project qualifications and internally assessed work in other qualifications covered by these Instructions. These instructions are for use in AQA Applied General qualifications, OCR Cambridge Nationals, CCEA GCE unitised AS and A-level qualifications, ELC and Project qualifications. They may also apply to other awarding body-specific Level 1, Level 2 or Level 3 qualifications. Centres should refer to awarding body instructions. (ICC Introduction, Foreword)

Staff will have key roles at each stage to ensure that JCQ rules are regulations are adhered to throughout the non-examination process.

2.   Legislation

The Joint Council for Qualifications (JCQ) requires each exam centre to have a non-examination assessment policy. This is outlined in the JCQ's instructions for conducting non-examination assessments, which we refer to when carrying out non-examination assessments in our school.

This policy also takes into account the JCQ's guidance on post-results services and general regulations for approved centres.

This policy also complies with our funding agreement and articles of association.

3.   Roles and responsibilities

3.1   Head of centre

The head of centre:

➢ Returns an online 'Head of Centre declaration' at the time of the National Centre Number Register annual update to confirm awareness of and that relevant centre staff are adhering to the latest version of ICE (Instructions for conducting non-examination assessments)

➢ Ensures 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 (A Level Sciences) prescribed practical activities

➢ Ensures that the centre's non-examination assessment policy is fit for purpose and covers all types of non-examination assessment

➢ 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

3.2   Senior leaders (SLT)

Senior leaders:

➢ Ensure the correct conduct of non-examination assessments (including endorsements) which comply with JCQ ICE publication and awarding body subject-specific instructions

➢ Ensure the centre-wide calendar records assessment schedules by the start of the academic year

3.3   Quality assurance (QA) lead/Lead internal verifier

QA lead:

➢ Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments (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.

3.4   Head of faculty/department/subject (HoF/HoD/HoS)

Heads of Faculty/Department/Subject:

➢ Ensures subject teachers understand their role and responsibilities within the non-examination assessment process

➢ Ensures ICE and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments (including endorsements)

➢ Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers

➢ Understands the arrangements that the centre needs to put in place where the centre might accept private candidates (including distance learners and home educated students) for components of non-examination assessment

3.5   Subject teacher

The subject teacher:

➢ Understands and complies with the general instructions as detailed in ICE

➢ Where these may also be provided by the awarding body, 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 assessed work to the criteria provided by the awarding body and is aware that artificial intelligence (AI) cannot be used for the sole purpose of making candidates' work

➢ 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

3.6   IT

IT staff:
➢ must ensure that candidates' work is backed-up and should consider the contingency of candidates' work being backed-up on two separate devices, including one off-site back-up.

➢ Centres must implement appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks.

3.7   Exams officer

The exams officer:

- ➢ 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.   Task setting

During the task setting stage the following actions will be followed:

4.1   Subject teacher

The subject teacher:

- ➢ 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 (ensuring that materials are stored securely at all times)

- ➢ 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

- ➢ Ensures the correct task is issued to the candidates

- ➢ Makes candidates aware of the criteria used to assess their work

5.   Task taking

There are several steps/considerations involved with the task taking process:

- ➢ Supervision

- ➢ Advice and feedback

- ➢ Resources

- ➢ Word and time limits

- ➢ Collaboration and group work

  - ➢ Authentication procedures

  - ➢ Presentation of work

  - ➢ Keeping materials secure

  - ➢ Conduct of externally assessed work

  - ➢ Submission of work

Predominantly, the subject teacher has responsibility during this stage with some support from the exams officer and technical assistance (as required) from IT support teams.

5.1   Supervision

The subject teacher:

➢ Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements

➢ 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

➢ Ensures 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, 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

➢ Ensures candidate:

   o Understand that information from all sources must be referenced

   o Receive guidance on setting out references

   o Are aware that they must not plagiarise other material

5.2   Advice and feedback

The subject teacher:

➢ As relevant to the subject/component, advises 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, 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

5.3   Resources

The 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

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

- ➢ 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 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.

5.4 Word and time limits

The subject teacher:

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

5.5 Collaboration and group work

The 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

5.6 Authentication procedures

The subject teacher:

- ➢ Where required by the awarding body's specification:

- ➢ ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work (Electronic signatures are acceptable)

- ➢ 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 in JCQ ICE and informs the head of centre/a member of the senior leadership team

- ➢ Understands 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

5.7   Presentation of work

The subject teacher:

- ➢ Obtains 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

- ➢ Instructs candidates to present work as detailed in JCQ ICE 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

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

5.8   Keeping materials secure

The 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 all secure storage instructions as defined in JCQ Instructions for conducting non-examination assessments

- ➢ Takes sensible precautions when work is taken home for marking

- ➢ Stores internally assessed work, including the sample returned after awarding body moderation, securely until all possible post-results services have been exhausted

  - o If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series

  - o If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed

➢ 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 (Reminds candidates of the contents of the JCQ document Information for candidates – Social Media)

➢ Where work is stored electronically, liaises with the IT Manager 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 manager/IT support team:

➢ Ensures appropriate arrangements are in place to restrict access between sessions to candidates' 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

➢ Considers 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

6.   Task marking

There are several steps/considerations involved with the task marking process:

➢ Marking and annotation

➢ Internal standardisation

➢ Submission of marks and work for moderation

➢ Storage and retention of work after submission of marks

➢ External moderation – feedback

➢ Access arrangements/Reasonable adjustments

➢ Special consideration

➢ Malpractice

➢ Enquiries about results

➢ Practical Skills Endorsement for the A Level Sciences

➢ Spoken Language Endorsement for GCSE English Language specifications

Predominantly, the subject teacher has responsibility during this stage with some support from the exams officer and technical assistance (as required) from IT support teams.

6.1   Marking and annotation

The subject teacher:

➢ Liaises 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**

➢ Liaises with the Visiting Examiner where this may be applicable to any externally assessed component

➢ Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements

➢ Ensures there is sufficient supervision to enable the work of a candidate to be authenticated

➢ 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

6.2   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

➢ Supports staff not familiar with the mark scheme (e.g. ECTs, 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

➢ Retains 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 the later.

6.3   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 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 to 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

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 despatch 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, submits any supporting documentation required by the awarding body.

6.4   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

> ➤ Retains all marked candidates' work under secure conditions for the required retention period

> ➤ In liaison with IT, takes 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

6.5   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

6.6   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.

7.   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

8.   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 exams officer when special consideration may need to be applied for a candidate taking assessments

➢ Liaise with exams officer to report loss of work to the awarding body

Exams 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

9.   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

➢ 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 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

10. Management of risks associated with non-examination assessments

The 'Management of issues and potential risks associated with non-examination assessments' (Appendix 1) should be used to mitigate against potential risk and ensure that procedures are followed and the centre remains complainant with all prescribed regulations as set by JCQ.

11.   Staff with responsibility for exam procedures

Beauchamp City Sixth Form

Position in School	Staff
Head of Centre	Catherine Bartholomew
SLT Line Manager for Exam Officer	Dan Burke
Exam Officer	Aziza Raidhan
SLT Line Manager for SEND Coordinator	Catherine Bartholomew
SEND Coordinator	Ismahane Messahel
Other SLT member with contingency exam responsibility	Kathryn Judge

Beauchamp College

Position in School	Staff
Head of Centre	Kath Kelly
SLT Line Manager for Exam Officer	Gary Mellor
Exam Officer	Sal Lail
SLT Line Manager for SEND Coordinator	Jim Ardley
SEND Coordinator	Belinda Howell
Other SLT member with contingency exam responsibility	Shelley Bass, Alice King

Castle Rock School

Role	Staff
Head of Centre	Roma Dhameja
SLT Line Manager for Exam Officer	Phil Cooling
Exam Officer	Emma Knaggs
SLT Line Manager for SEND Coordinator	Roma Dhameja
SEND Coordinator	Amy Bowles
Other SLT member with contingency exam responsibility	Roma Dhameja

Cedars Academy

Role	Staff
Head of Centre	Laura Sanchez
SLT Line Manager for Exam Officer	Hayley Pugh
Exam Officer	Susan Panczak
SLT Line Manager for SEND Coordinator	Luke Marvell
SEND Coordinator	Emma Brewster
Other SLT member with contingency exam responsibility	James Rolfe, Dave Allard, Dan Thomas,

Humphrey Perkins School

Position in School	Staff
Head of Centre	Jenny Piper-Gale
SLT Line Manager for Exam Officer	Rikki Khakhar
Exam Officer	Allison Poulton
SLT Line Manager for SEND Coordinator	Matthew Rofe
SEND Coordinator	Karen Bradley
Other SLT member with contingency exam responsibility	Della Bartram

Judgemeadow Community College

Role	Staff
Head of Centre	Alex Grainge
SLT Line Manager for Exam Officer	Sally Howgate
Exam Officer	Rafia Mastoor
SLT Line Manager for SEND Coordinator	Sally Howgate
SEND Coordinator	Jasdeep Singh
Other SLT member with contingency exam responsibility	Emma Andrews

Newbridge School

Position in School	Staff
Head of Centre	Michael Gamble
SLT Line Manager for Exam Officer	Michael Gamble
Exam Officer	Leila Tillotson-Roberts
SLT Line Manager for SEND Coordinator	Sophie Maine
SEND Coordinator	Sophie Marlow
Other SLT member with contingency exam responsibility	Thomas Barr, Mick Rowbottom, Rebecca Knaggs

Martin High School

Role	Staff
Head of Centre	Laura Sanchez
SLT Line Manager for Exam Officer	Timothy Hackett
Exam Officer	Chloe Hollis
SLT Line Manager for SEND Coordinator	Kevin Seaward
SEND Coordinator	Emma Rudkin
Other SLT member with contingency exam responsibility	

Mercia Academy

Role	Staff
Head of Centre	Jackie Cooper
SLT Line Manager for Exam Officer	Jackie Cooper
Exam Officer	Nick Holmes
SLT Line Manager for SEND Coordinator	Kelly Lundman
SEND Coordinator	Katie Westwood
Other SLT member with contingency exam responsibility	

Sir Jonathan North College

Position in School	Staff
Head of Centre	James McKenna
SLT Line Manager for Exam Officer	Carl Hartley
Exam Officer	Amrita Ali
SLT Line Manager for SEND Coordinator	Claire Greaves
SEND Coordinator	Nic Coton
Other SLT member with contingency exam responsibility	Steve Reynard

Lionheart Educational Trust

Role	Staff
Chief Operating Officer	Ben Jackson
Director of Data & Exams	Richard Heppell

Appendix 1 - 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 set task 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* *Awarding body contacted to request direct email of task details*	
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	*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* *Samples assessment criteria in the centre set task*	
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 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*	
Subject teacher long term absence during the task setting stage	*See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle*	
Issuing of tasks		
Awarding body set task not issued to candidates on time	*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*	

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
The wrong task is given to candidates	*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*	
Subject teacher long term absence during the issuing of tasks stage	*See centre's exam contingency plan - Teaching staff extended absence at key points in the exam cycle*	
A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking 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* *Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample*	

Task taking		
Supervision		
Planned assessments clash with other centre or candidate activities	*Assessment plan identified for the start of the course* *Assessment dates/periods included in centre wide calendar*	
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	*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)*	
Insufficient supervision of candidates to enable work to be authenticated	*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*	
A candidate is suspected of malpractice prior to submitting their work for assessment	*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*	
Access arrangements/reasonable adjustments were not put in place for an assessment where a candidate is approved for arrangements	*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*	
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	*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*	

	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*	
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	*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* *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*	
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	*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*	
Candidate does not reference information from published source	*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*	
Candidate does not set out references as required	*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*	

Candidate joins the course late after formally supervised task taking has started	*A separate supervised session(s) is arranged for the candidate to catch up*	
Candidate moves to another centre during the course	*Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place*	
An excluded pupil wants to complete his/her non-examination assessment(s)	*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*	
Resources		
A candidate augments notes and resources between formally supervised sessions	*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*	
A candidate fails to acknowledge sources on work that is submitted for assessment	*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*	
Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	*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	
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	*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*	
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment Candidate plagiarises other material	*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* *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*	
Candidate does not sign their authentication statement/declaration	*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*	
Subject teacher not available to sign authentication forms	*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*	

Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	*Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment*	
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	*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*	
Adequate secure storage not available to subject teacher	*Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course* *Alternative secure storage sourced where required*	

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*	
A candidate is absent on the day of the examiner visit for an unacceptable reason	*The candidate is marked absent on the attendance register*	
Task marking – internally assessed components		
A candidate submits little or no work	*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*	
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*	
The work of a candidate is lost or damaged	*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*	
Candidate malpractice is discovered	*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*	
A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their	*A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examinations series* *Marked work of said candidate is submitted for moderation whether part of the sample requested or not*	

family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter)		
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 determine eligibility and the process to be followed for non-examination assessment extension*	
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*	
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* *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 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*	
Deadline for submitting work for formal assessment not met by candidate	*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*	
Deadline for submitting marks and samples of candidates work ignored by subject teacher	*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*	
Subject teacher long term absence during the marking period	*See centre's exam contingency plan (Teaching staff extended absence at key points in the exam cycle)*	