KING WILLIAM'S COLLEGE

King William's College

Non-Examination Assessments (NEA) Policy

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This policy is reviewed and updated annually to ensure that non-examination assessment at King William's College are planned for and managed in accordance with current requirements and regulations.

Introduction

Non-examination assessments (NEA) 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

Purpose of the policy

This policy confirms the JCQ requirement that King William's College has in place for inspection that must be reviewed and updated annually, a written policy regarding the management of non-examination assessments including controlled assessments and coursework, which includes how candidates' work will be authenticated.

Awarding bodies require each centre to have a NEA policy in place to:

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

Procedures for planning and managing NEA identifying staff roles and responsibilities
Where reference is made in these procedures to NEA, this is intended to include all NEA components and controlled assessment (where applicable)

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 versions of Instructions for conducting non-examination assessments (GCE & GCSE):
- Ensures the centre's policy is robust and fit for purpose and covers all types of NEA
- Ensures the centre's **internal appeals procedure** clearly details the process to be followed by candidates appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

Deputy Head role and responsibilities:

- Ensure the correct conduct of NEA (including endorsements) which comply with the JCQ documents

Instructions for conducting non-examination assessments (GCE & GCSE), and awarding body subject-specific instructions

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

- Confirm with Subject Leads that appropriate awarding body forms and templates for NEA 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

- Where not provided by the awarding body, ensure appropriate centre-devised are provided to capture/record relevant information given to candidates by subject teachers

- Where not provided by the awarding body, 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 **Instructions for conducting non-examination assessments (GCE & GCSE)** and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessment (including endorsements)
- Work with Head of Faculty to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers.
- 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 for the relevant exam series.

Subject teacher role and responsibilities:

- Understand and comply with the general instructions as detailed in the JCQ **Instructions for conducting non-examination assessments (GCE & GCSE)**
- Where instructions may also be provided by the awarding body, understand and comply with the awarding body's specification for conducting NEA including any subject specific instructions, teachers' notes or additional information on the awarding body's website
- Mark internally assessed work to the criteria provided by the awarding body

Exams Officer role and responsibilities:

- Signpost the annually updated JCQ Instructions for conducting non-examination assessments (GCE & GCSE specifications) to relevant centre staff

- Carry out tasks where these may be applicable to the role in supporting the

administration/management of NEA and coursework.

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

2.1 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
- **Check that the tasks being set and approach being taken are appropriate and in line with the awarding body's specification as well as ethical standards and the centre's safeguarding responsibilities**
- **Check that all candidates have read the JCQ *Information for candidates – non-examination assessments* and the candidate declaration in Appenxix 4 of this document, prior to beginning their work. Candidates must NOT sign the declaration until they have completed their work and handed it in for final assessment.**
- Provide candidates with a copy of the assessment criteria so they know what they need to do to gain credit. Specifications describe the marking criteria in detail (It is acceptable for teachers to produce a simplified candidate-friendly version of the marking criteria, provided that it is **NOT** specific to the work of an individual candidate or group of candidates.)

3. Task taking

3.1 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, including the use of AI and the sources resulting in the AI-generated content;**

- Ensure candidates **receive guidance on setting out references and are made aware of the centre's policy on the use of AI;**

- Ensure candidates **are aware that they must not plagiarise other material, including AI-generated content**

3.2 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

3.3 Resources

Subject teacher role and responsibilities:

- Refer to the awarding body's specification and/or associated documentation to determine if candidates have restricted or unrestricted access to resources when planning and researching their tasks

- Refer to the JCQ document *AI Use in Assessments: Protecting the Integrity of Qualifications:* http://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 and the King William's College Malpractice policy, 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

- In many subjects, candidates will use source material, including the internet and AI tools, when

researching and planning their tasks Candidates normally have unrestricted access to resources However, candidates **must not** copy such material and claim it as their own work Source material must be appropriately credited and referenced

- Ensure conditions for any formally supervised sessions are known and put in place
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- 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 work submitted for assessment includes references where appropriate To facilitate this, each candidate should keep a detailed record of their own research, planning, resources etc The record must include all the sources used, including books, websites, audio-visual resources and AI tools Reference should be made so Sect 4.3 of the JCQ Information for candidates - non-examination assessments (GCE and GCSE specifications) for guidance on referencing
- Ensures candidates understand how all sources included in work that is submitted for assessment must be acknowledged

3.4 Word and time limits

Subject teacher role and responsibilities:

- Refers to the awarding body's specification to determine whether there are minimum and/or maximum time and/or word limits

3.5 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

3.6 Authentication procedures - how candidates' work is authenticated

Subject teacher role and responsibilities:

Teachers must be sufficiently familiar with a candidate's general standard of worklng to be able to judge

whether the piece of work submitted is within the candidate's capabilities.

Proper supervision as detailed above will also play a part in authenticating student's work.

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 and ensures that this takes place as soon as the candidate has completed the assessment

- 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 documents **Instructions for conducting non-examination assessments** (GCE & GCSE) and informs the Deputy Head

- 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

3.7 Presentation of work

Subject teacher role and responsibilities:

- Obtain informed consent at the beginning of the course from parents or carers if videos, photographs or images of candidates will be included as evidence of participation or contribution

- Instruct candidates to present work as detailed in the JCQ documents **Instructions for conducting non- examination assessments/coursework** 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

3.8 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 documents **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 Department role and responsibilities:

- Ensure 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
- Employ an effective back-up strategy so that an up to date archive of candidates' evidence is maintained
- Consider the contingency of candidates' work being backed-up on two separate devices, including one off- site back-up and implementing appropriate security arrangements which protect candidates' work in the event of IT system corruption and cyber-attacks
- 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

4. Task marking - externally assessed components

4.1 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 document **Instructions for conducting examinations**

- Liaise with the Visiting Examiner where this may be applicable to any externally assessed component

Exams 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 document **Instructions for conducting examinations**

4.2 Submission of work

Subject teacher role and responsibilities:

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

Exams 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

5. Task marking - internally assessed components

5.1 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/marking process

- Mark candidates' work in in accordance with the marking criteria detailed in the relevant specification and associated subject-specific documents
(Does not use AI as the sole or primary means of marking candidates' work)

- review all the work in its entirety and determine the mark it warrants using their own professional judgement, regardless of the outcomes of an AI tool

- Annotate candidates' work as required to provide evidence to indicate how and why marks have been awarded and 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

5.2 Internal standardisation

Subject Lead 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

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

5.3 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 OR 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 OR 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 OR 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 or 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 or 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

5.4 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
- 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 Officer role and responsibilities:

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

5.5 External moderation - the process

Subject Lead 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

5.6 External moderation - feedback

Subject Lead role and responsibilities:

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

Exams Officer role and responsibilities:

- Access or signpost any moderator reports/feedback forms to relevant staff

- Takes remedial action, if necessary, where feedback may relate to centre administration

6. Access arrangements and reasonable adjustments

Subject teacher role and responsibilities:

- Work with the Head of Learning Support to ensure any access arrangements for eligible candidates are applied to assessments

Head of Learning Support role and responsibilities:

- Follow the regulations and guidance in the JCQ document **Access Arrangements and Reasonable Adjustments** in relation to NEA
- 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

7. 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 Officer role and responsibilities:

Refer to/directs relevant staff to the JCQ document **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

8. 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 document **Suspected Malpractice: Policies and Procedures**
- Ensure that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessments or coursework 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/coursework
- Ensure candidates understand the JCQ documents **Information for candidates - non-examination assessments/coursework 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 Officer role and responsibilities:

- Signpost the JCQ document **Suspected Malpractice: Policies and Procedures** to the head of centre
- Signpost to relevant staff 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

9. Post-results services

Head of centre role and responsibilities:

- Is familiar with the JCQ document **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 Officer role and responsibilities:

- Is aware of the individual post-results services available for externally assessed and internally assessed components as detailed in the JCQ document **Post-Results Services** (Information and guidance to centre)
- Provide/signpost relevant centre staff and candidates to post-results services information
- Ensure any requests for post-results services that are available to centre-assessed work are submitted online via the awarding body secure extranet site to deadline

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

Reference to NEA is intended to include any specifications with one or more non- examination assessment component or unit and controlled assessment (where applicable)

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	Records confirm that relevant centre staff are familiar with and follow the current JCQ publication Instructions for conducting non-examination assessments and the JCQ document Notice to Centres - Sharing NEA material and candidates' work.	Exams Officer
Candidate malpractice	Records confirm that candidates are informed and understand they must not: submit work which is not their own / make available their work to other candidates through any medium / allow other candidates to have access to their own independently sourced material / assist other candidates to produce work / use books, the internet, AI or other sources without acknowledgement or attribution / submit work that has been word processed by a third party without acknowledgement / include inappropriate, offensive or obscene material.	Subject Lead
Candidate malpractice	Records confirm that candidates have been made aware of the JCQ documents Information for candidates - non- examination assessments/coursework and Information for candidates – social media - and understand they must not post their work on social media	Exams Officer

Task setting:		
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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	Subject Lead
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.	Subject Lead

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 Lead

Issuing of tasks:		
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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.	Subject Lead
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 Lead
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.	Subject Lead

Task taking- Supervision		
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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.	Subject Lead
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).	Subject Lead

Insufficient supervision of candidates to enable work to be authenticated	Confirm subject teachers are aware of and follow the current JCQ document 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.	Subject Lead
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 (9. Malpractice) "are followed. An internal investigation and where appropriate internal disciplinary procedures are followed.	Subject Lead
Access arrangements were not put in place for an assessment where a candidate is approved for arrangements	Relevant staff are signposted to the JCQ document A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate	Exams Officer

Advice and feedback:		
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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.	Subject Lead
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 procedure. 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.	Subject Lead

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.	Deputy Head
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 continued completion Candidate is again referred to the JCQ documents Information for candidates: non-examination assessments/coursework assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure	Subject Lead
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/coursework assessments. Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion.	Subject Teacher/ Subject Lead
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	Subject Lead
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	Exams Officer
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.	Subject Lead

Resources		
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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.	Subject Teacher

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 are referenced. 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.	Subject Lead
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.	Subject Teacher
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.	Subject Lead

Authentication procedures		
Issue/Risk	**Centre actions to manage issue/mitigate risk**	**Action by**
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 Notice to Centres - Sharing NEA material and candidates. Records confirm that candidates have been issued with the current JCQ document Information for candidates: non- examination assessments/coursework 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	Subject Lead

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/coursework 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/coursework assessments. Declaration is checked for signature before accepting the work of a candidate for formal assessment.	Subject Lead
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.	Deputy Head
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	Subject Lead
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	Records confirm subject teachers are aware of and follow current JCQ document Instructions for conducting non- examination assessments Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage	Subject Lead
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.	Subject Lead
Candidates work produced electronically is not securely stored	Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non- examination assessments. Internal processes and regular monitoring/internal audit by IT Manager ensures access to this material is restricted; appropriate security safeguards are in place; an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained; any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it.	Subject Lead

Task marking – externally assessed components:

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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	Exams Officer
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked absent on the attendance register	Subject Lead

Task marking – internally assessed components		
Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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	Subject Lead
A candidate is unable to finish their work for unforeseen reason	Relevant staff are signposted to the JCQ document A guide to the special consideration process (5), to determine eligibility and the process to be followed for shortfall in work	Subject Lead
The work of a candidate is lost or damaged	Relevant staff are signposted to the JCQ documents Instructions for conducting non-examination assessments (8) to determine eligibility and the process to be followed for lost or damaged work	Subject Lead
Candidate malpractice is discovered	Instructions and processes in the current JCQ documents Instructions for conducting non-examination assessments (9) are followed. Investigation and reporting procedures in the current JCQ document Suspected Malpractice: Policies and Procedures are followed. Appropriate internal disciplinary procedures are also followed.	Deputy Head
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 candidate is submitted for moderation whether part of the sample requested or not	Exams Officer

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 document A guide to the special consideration process (5), to determine eligibility and the process to be followed for an extension	Exams Officer
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	Subject Lead
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 Candidates are made aware of the centre's internal appeals procedure (on Firefly and at Autumn Candidate Briefing) 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.	Exams Officer
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.	Subject Lead
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 Subject Leads/ Heads of Faculty as deadlines approach. Records confirm deadlines known and understood by subject teachers. Where appropriate, internal disciplinary procedures are followed	Head of Faculty