Examination Policy including

- ***Disability (Exams) Policy***
- ***Controlled Assessments Management Policy***
- ***Exam Contingency Plan***
- ***Emergency Evacuation (Exams) Policy***
- ***Non-Examination Assessment Policy***

Recommended by:

Teaching, Learning & Achievement Committee: Date: 27 February 2018

Adopted at Full Governing Body Meeting: Date: 27 March 2018

Signed by A Titley, Chair of Governors: .....

Review date: Spring Term 2020 (earlier if any legislative change)

EXAMINATION POLICY – JANUARY 2018

Reviewed at Teaching, Learning & Achievement Committee - 27 February 2018
Adopted at Full Governing Body Meeting - 27 March 2018
Review date - Spring Term 2020

This policy is reviewed alongside other examinations policies to ensure compliance with current regulations

1. Examination responsibilities
2. The statutory tests and qualifications offered
3. Examination seasons and timetables
4. Entries, entry details, late entries and retakes
5. Examination fees
6. The Disability Discrimination Act (DDA), special needs and access arrangements
7. Estimated grades
8. Managing invigilators and examination days
9. Candidates, clash candidates and special consideration
10. Controlled assessment and appeals against internal assessments
11. Results, enquiries about results (EARs) and access to scripts (ATS)
12. Certificates

The purpose of this examination policy is:

- to ensure the planning and management of examinations is conducted efficiently and in the best interest of candidates;
- to ensure the operation of an efficient examination system with clear guidelines for all relevant staff.

It is the responsibility of everyone involved in the centre's examination processes to read, understand and implement this policy.

This examination policy will be reviewed by the Headteacher and Assistant Headteacher (Curriculum) every two years.

1. Examination responsibilities

Head of Centre

Overall responsibility for the school as an examination centre (but would delegate the following to the Assistant Headteacher):

- advice on appeals and re-marks
- the Examination Officer/Assistant Head Teacher are responsible for reporting all suspicions or actual incidents of malpractice. Refer to the JCQ document *Suspected malpractice in examinations and assessments.*

Examinations Officer

Manages the administration of public and internal examinations.

Advises the senior leadership team, subject and class tutors and other relevant support staff on annual examination timetables and application procedures as set by the various examination boards

- oversees the production and distribution to staff, governors and candidates of an annual calendar for all examinations in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events
- ensures that candidates and their parents are informed of and understand those aspects of the examination timetable that will affect them
- liaises with teaching staff to ensure that necessary coursework/controlled assessments are completed on time and in accordance with JCQ guidelines
- provides and confirms detailed data on estimated entries
- receives, checks and stores securely all examination papers and completed scripts
- liaises with SENDCO to administer access arrangements and makes applications for special consideration using the JCQ *Access arrangements and special considerations regulations* and *Guidance relating to candidates who are eligible for adjustments in examination*
- identifies and manages examination timetable clashes
- accounts for income and expenditures relating to all examination costs/charges
- line manages the senior examinations invigilator and organises the recruitment, training and monitoring of a team of examinations invigilators responsible for the conduct of examinations
- liaises with teachers to submit candidates' coursework marks, tracks dispatches and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule
- arranges for dissemination of examination results and certificates to candidates and forwards, in consultation with the SLT, any appeals/re-mark requests
- maintains systems and processes to support the timely entry of candidates for their examinations.
- co-ordination of the input of data.
- organisation of the posting of examination papers.

Assistant Headteacher

- agree non-entry to external examination.
- guidance and careers information. i.e Pathways in liaison with Connexions

Subject Leaders

- clear oversight and discussions with candidates re: examination entries and amendments to levels.
- involvement in post-result appeals procedures.
- accurate completion of coursework/controlled assessment mark sheets and declaration sheets electronically or via hard copy as requested by exam boards.
- accurate completion of entry and all other mark sheets and adherence to deadlines as set by the examinations manager.
- set coursework/controlled assessment deadlines and ensuring moderation in line with criteria.

Subject Teachers

- notification of access arrangements to SENCO prior to the start of KS4
- ensure candidate lists are accurate prior to submission to Subject Leaders
- mark sheet completion prior to submission to Subject Leaders

SENDCO

- administration of access arrangements with the examinations officer
- identification and testing of candidates' requirements for access arrangements prior to start of KS4. Access arrangements after this point may not enable provision to be secured.
- provision of additional support — with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment — to help candidates achieve their course requirements.

Lead invigilator/invigilators

- collection of examination papers and other material from the examinations office before the start of the examination.
- collection of all examination papers in the correct order at the end of the examination and their return to the examinations office.

Candidates

- confirmation and signing of entries as required.
- understanding coursework/controlled assessment regulations and signing a declaration that authenticates the coursework as their own.

2. The qualifications offered

The qualifications offered at this centre are decided by the Head of Centre, Assistant Headteacher and the Senior Leadership Team.

The statutory tests and qualifications offered are GCSE, A Levels and BTEC. In addition ELC qualification and ASDAN awards are offered to some students in liaison with Assistant Headteacher Curriculum.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there has been a change of syllabus from the previous year, the examinations officer must be informed.

At Key Stage 4

All candidates will be entitled, and enabled, to achieve an entry for qualifications from an external awarding body unless the Headteacher withdraws a student.

3. Examination seasons and timetables

3.1 Examination seasons

Internal examinations are scheduled at the discretion of the Senior Leadership Team.

External examinations are scheduled in May and June.

All internal examinations are held under external examination conditions.

Which examination series used in the centre is decided by the Headteacher and Senior Leadership Team.

3.2 Timetables

The Examinations Officer will circulate the examination timetables for both external and internal examinations once these are confirmed.

4. Entries, entry details, late entries and retakes

4.1 Entries

Candidates are selected for their examination entries by the Subject Leaders and the Assistant Headteacher.

As general practice, candidates, or parents, cannot simply request a subject entry, change of level or withdrawal. Further discussions will have had to have taken place with the Subject Leader or Assistant Headteacher.

4.2 Late entries

Entry deadlines are circulated to Subject Leaders via email.
Late entries are authorised by Subject Leaders and Assistant Headteacher.
Unreasonable late entries due to failure to follow procedures on the part of Subject Leaders will accrue costs to the Department in question.

4.3 Retakes

A general retake programme is not allowed at GCSE or 'AS/A2 level.
All retake decisions will be made in consultation with the candidates, subject teachers and the Assistant Headteacher, Curriculum.
Students entering KS5 as a "prep for 'A' Level" pathway will be able to retake GCSE Maths only and this will be undertaken in November, January or June of their Year 12 course.
These fees are paid by the centre.
(See also section 5: Examination fees)

5. Examination fees

GCSE initial registration and entry examination fees are paid by the centre.

A2 initial registration and entry examination fees are paid by the centre. (ASDAN and ELC initial registration and fees are paid by the centre.)

Late entry or amendment fees are paid by the centre.

Candidates or Departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies and the deadlines set by Examination Officer and Assistant Headteacher.

Reimbursement will be sought from candidates who fail to sit an examination or meet the necessary coursework/controlled assessment requirements.

Retake/re-sit fees for first and any subsequent retakes/re-sits are paid by the candidates, (See also section 4.3: Retakes)

Candidates must pay the fee for an enquiry about a result, should the centre not uphold the enquiry and the candidate insist on pursuing the enquiry.
(See also section 11.2: Enquiries about results EARs])

6. The Disability Discrimination Act (DDA), special needs and access arrangements

6.1 DDA

The Disability Discrimination Act 2005 extends the application of the DDA to general qualifications. All examination centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

6.2 Special needs

A candidate's special needs requirements are determined by the SENDCO and the educational psychologist/specialist teacher.

The SENDCO will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an examination, and the date of that examination. The SENDCO can then inform individual staff of any special arrangements that individual candidates may be granted during the course and in the examination.

6.3 Access arrangements

Making special arrangements for candidates to take examinations is the responsibility of the SENDCO and the Examinations Officer.

Submitting completed access arrangement applications to the awarding bodies is the responsibility of the SENDCO prior to the start of KS4.

Rooming for access arrangement candidates will be arranged by the SENCO with the Examinations Officer.

Invigilation and support for access arrangement candidates will be organised by the SENDCO with the Examinations Officer.

7. Estimated grades

The subject leader for specific subjects will submit estimated grades to the Examinations Officer when requested to do so.

8. Managing invigilators and examination days

8.1 Managing invigilators

External invigilators will be used for examination supervision.
They will be used for all examinations.

The recruitment of invigilators is the responsibility of the Examinations Officer.

Securing the necessary DBS clearance for new invigilators is the responsibility of the HR Manager.

DBS fees for securing such clearance are paid by the centre.

Invigilators are timetabled and briefed by the Examinations Officer.

Invigilators' rates of pay are set by the centre administration.

8.2 Examination days

The Examinations Officer will book all examination rooms after liaison with other users and make the question papers, other examination stationery and materials available for the invigilator.

Site management is responsible for setting up the allocated rooms.

The invigilator will start all examinations in accordance with JCQ guidelines.

Subject staff are not to be present at the start of the examination unless requested to be there by the Examinations Officer.

In practical examinations subject teachers may be on hand in case of any technical difficulties.

Examination papers must not be read by subject teachers or removed from the examination room before the end of a session. Papers will be distributed to subject leaders 24hours after the end of the examination session.

Staff failing to follow these strict instructions will have to remain in the examination hall for the duration of the examination.

9. Candidates, clash candidates and special consideration

9.1 Candidates

The centre publishes rules on acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices, these rules apply at all times.

Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.

Disruptive candidates are dealt with in accordance with JCQ guidelines.

Candidates may leave the examination room for a genuine purpose requiring an immediate return to the examination room, in which case a member of staff must accompany them.

The Attendance Officer will attempt to contact any candidate who is not present at the start of an examination and the Examinations Officer will deal with them in accordance with JCQ guidelines.

9.2 Clash candidates

The examinations office will be responsible as necessary for identifying escorts, identifying a secure venue and arranging overnight stays.

9.3 Special consideration

Should a candidate be too ill to sit an examination, suffer bereavement or other trauma or be taken ill during the examination itself, it is the candidate's responsibility to alert the centre or the examination invigilator, to that effect.

Any special consideration claim must be supported by appropriate evidence within five days of the examination, for example a letter from the candidate's doctor.

The Examinations Officer will then forward a completed special consideration application to the relevant awarding body.

10. Coursework/Controlled Assessment and appeals against internal assessments

10.1 Controlled Assessment

Candidates who have to prepare portfolios should do so by the end of the course or centre-defined date.

Subject Leaders will ensure all controlled assessments are ready for despatch at the correct time and the Examinations Officer will keep a record of what has been sent when and to whom.

Marks for all controlled assessed work are provided and verified by Subject Leaders to the exam boards.

10.2 Appeals against controlled assessments

The centre is obliged to publish a separate procedure on this subject, which is available from the examinations office.

The main points are:

- appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded
- candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification
- appeals should be made in writing by 30 June to the Examinations Officer who will pass to the Assistant Headteacher to decide whether the process used conformed to the necessary requirements

- the Assistant Headteacher's findings will be notified in writing, copied to the Examinations Officer and recorded for awarding body inspection.

11. Results, enquiries about results and access to scripts

11.1 Results

Candidates will receive individual results slips on results days in person at the centre.

Arrangements for the school to be open on results days are made by the Head of Centre.

The provision of staff on results days is the responsibility of the Head of Centre.

11.2 Enquiries about results (EARs)

EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.

When the centre does not uphold an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged. (See section 5: Examination fees)

11.3 Access to scripts

After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results.

If a result is queried, the Examinations Officer, teaching staff and Head of Centre will investigate the feasibility of asking for an enquiry about results at the centre's expense.

Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.

GCSE EARs cannot be applied for once a script has been returned.

12. Certificates

Certificates are presented in person.

Certificates may be collected on behalf of a candidate by a third party, provided they have given written authorisation to do so.

Certificates are not withheld from candidates who owe fees.

The centre retains certificates for one year.

13. Review

This policy will be reviewed in two years (earlier for any legislative change).

January 2018

DISABILITY (EXAMS) POLICY – JANUARY 2018

Reviewed at Teaching, Learning & Achievement Committee - 27 February 2018
Adopted at Full Governing Body Meeting - 27 March 2018
Review date - Spring Term 2020

This policy is reviewed alongside other examinations policies to ensure compliance with current regulations

Purpose of the policy

This document is provided as an exams-specific supplement to the *centre-wide accessibility policy/plan* which details how the centre:

"recognises its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates.

†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect"

[Quote taken directly from chapter 5.4 of the current JCQ publication *General regulations for approved centres*]

This publication is further referred to in this policy as GR.

This policy details how the centre facilitates access to exams and assessments for disabled candidates, as defined under the terms of the Equality Act 2010, by outlining staff roles and responsibilities in relation to

- identifying the need for appropriate arrangements, reasonable adjustments and/or adaptations (referred to in this policy as 'access arrangements')
- requesting access arrangements
- implementing access arrangements and the conduct of exams

The Equality Act 2010 definition of disability

A definition is provided on page 4 of the current JCQ publication *Adjustments for candidates with disabilities and learning difficulties Access Arrangements and Reasonable Adjustments* (Appendix A attached). This publication is further referred to in this policy as AA.

Identifying the need for access arrangements

Roles and responsibilities

Head of Centre

- Is familiar with the entire contents, refers to and directs relevant centre staff to the annually updated JCQ publications including GR and AA

Senior Leaders

- Are familiar with the entire contents of the annually updated JCQ publications including GR and AA

Special Educational Needs & Disabilities Co-ordinator (SENDCO)

- Has full knowledge and understanding of the contents, refers to and directs relevant centre staff to the annually updated JCQ publication AA

Teaching Staff

- Inform the SENDCO of any support that might be needed by a candidate

Assessor of Candidates with Learning Difficulties

(An assessor of candidates with learning difficulties will be an appropriately qualified access arrangements assessor/psychologist/specialist assessor)

- Has detailed understanding of the current JCQ publication AA

Requesting access arrangements

Roles and responsibilities

Special Educational Needs & Disabilities Co-ordinator (SENDCO)

- Determines if the arrangements identified for a candidate require prior approval from the awarding body before the arrangements are put in place or if approval is centre-delegated

Examinations Officer

- Is familiar with the entire contents of the annually updated JCQ publication GR and is aware of information contained in AA where this may be relevant to the EO role

Implementing access arrangements and the conduct of exams

Roles and responsibilities

External assessments

These are assessments which are normally set and marked/examined by an awarding body which must be conducted according to awarding body instructions and/or the JCQ publication *Instructions for conducting examinations* (ICE).

Head of Centre

- Supports the SENDCO, the exams officer and other relevant centre staff in ensuring appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

Special Educational Needs and Disabilities Co-ordinator (SENDCO)

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)

Examinations Officer

- Is familiar with and follows the *Checklist for heads of centre and examination officers – The Equality Act 2010 and conduct of examinations* provided in the current ICE (page 44)

Other Relevant Centre Staff

- Support the SENDCO and the exams officer to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

Internal assessments

These are non-examination assessments (NEA) which are normally set by a centre/awarding body, marked and internally verified by the centre and moderated by the awarding body.

"Externally marked and/or externally set practical examinations taken at different times across centres are classified as 'NEA'."

[Quote taken from the JCQ publication *Instructions for conducting non-examination assessments – Foreword, page 3*]

Special Educational Needs & Disabilities Co-ordinator (SENDCO)

- Liaises with teaching staff to implement appropriate access arrangements for candidates

Teaching Staff

- Support the SENDCO in implementing appropriate access arrangements for candidates

Internal exams

These are exams or tests which are set and marked within the centre; normally a pre-cursor to external assessments.

Special Educational Needs & Disabilities Co-ordinator (SENDCO)

- Liaises with teaching staff to implement appropriate access arrangements for candidates

Teaching Staff

- Support the SENDCO in implementing appropriate access arrangements for candidates

Facilitating access – examples

The following information confirms the centre's good practice in relation to the Equality Act 2010 and the conduct of examinations.

On a candidate by candidate basis, consideration is given to

- adapting assessment arrangements
- adapting assessment materials
- the provision of specialist equipment or adaptation of standard equipment
- adaptation of the physical environment for access purposes

The table provides example arrangements, adjustments and adaptations that are considered to meet the need(s) of a candidate and the actions considered/taken by the centre for the purposes of facilitating access.

Example of candidate need(s)	Arrangements explored	Centre actions
A medical condition which prevents the candidate from taking exams in the centre	Alternative site for the conduct of examinations Supervised rest breaks	*SENDCO gathers evidence to support the need for the candidate to take exams at home* *Pastoral head provides written statement for file to confirm the need* *Approval confirmed by SENDCO; AAO approval for both arrangements not required* *Pastoral head discussion with candidate to confirm the arrangements should be put in place* *EO submits appropriate 'Alternative site for the conduct of exams form'* *EO provides candidate with exam timetable and JCQ information for candidates* *Pastoral head confirms with candidate the information is understood* *Pastoral head agrees with candidate that prior to each exam will call to confirm fitness to take exam* *EO allocates invigilator(s) to candidate's timetable; confirms time of collection of exam papers and materials* *Invigilator monitors candidate's condition for each exam and records any issues on incident log* *Invigilator records rest breaks (time and duration) on incident log and confirms set time given for exam* *Invigilator briefs EO after each exam on how candidate's performance in exam may have been affected by his/her condition* *EO discusses with pastoral head if candidate is eligible for special consideration (candidate present but disadvantaged)* *EO processes request(s) for special consideration where applicable; incident log(s) provides supporting evidence* *Pastoral head informs candidate that special consideration has been requested*
Persistent and significant difficulties in accessing written text	Reader/computer reader 25% Extra time Separate invigilation within the centre	*Confirms candidate is disabled within the meaning of the Equality Act 2010* *Papers checked for those testing reading* *Computer reader sourced for use in papers (or sections of papers) testing reading OR up to 50% extra time awarded* *Form 8, signed and dated, with Sections A, B and C completed; kept on file with body of supporting evidence, printed approval from AAO and signed data protection notice*
Significant difficulty in concentrating	Prompter Separate invigilation within the centre	*Gathers evidence to support substantial and long term adverse impairment* *Confirms with candidate how and when they will be prompted* *Briefs invigilator to monitor candidate and the method of prompting (call out his name to bring his attention back to the paper - confirms requirement for separate room)*
A wheelchair user	Desk Rooms Facilities Seating arrangements Practical assistant	*Applies for practical assistant to help candidate set up wheelchair and other equipment in a practical assessment; approval automatically fails so awarding body referral lists the tasks that will be performed* *Provides height adjustable desk in exam room* *Allocates exam room on ground floor near adapted bathroom facilities* *Spaces desks to allow wheelchair access* *Seats candidate near exam room door* *Confirms arrangements in place to assist the candidate in case of emergency evacuation of the exam room* *Practical assistant cover sheet printed from AAO; to be completed by facilitator and inserted inside the candidate's work where this may be applicable to the assessment*

The Equality Act 2010 definition of disability

Generally, impairments have to meet the statutory requirements set out in section 6 and Schedule 1 to the Equality Act 2010 and associated regulations.

The Equality Act 2010 definition of disability is usually considered cumulatively in terms of:
- identifying a physical or mental impairment;
- looking into adverse effects and assessing which are substantial;
- considering if substantial adverse effects are long term;
- judging the impact of long term adverse effects on normal day to day activities

Statutory guidance on the Equality Act 2010 definition of disability has been produced by the Office for Disability Issues (within the Department for Work and Pensions) to help better understand and apply this definition - http://odi.dwp.gov.uk/docs/wor/new/ea-guide.pdf

The clear starting point in the statutory guidance is that disability means **'limitations going beyond the normal differences in ability which may exist among people'.**

'Substantial' means 'more than minor or trivial'. Substantial adverse effects can be determined by looking at the effects on a person with the impairment, comparing those to a person without the impairment, to judge if the difference between the two is more than minor or trivial.

'Long term' means the impairment has existed for at least 12 months, or is likely to do so.

'Normal day to day activities' could be determined by reference to the illustrative, non-exhaustive list of factors in pages 47 to 51 of the statutory guidance relating to the Equality Act 2010. (**Study and education related activities are included in the meaning of 'day to day' activities.**)

The guidance from the Office for Disability Issues referred to above illustrates the factors which might reasonably be regarded as having a substantial adverse effect on normal day to day activities. Factors that might reasonably be expected not to have a substantial adverse effect are also provided.

Factors that might reasonably be expected to have a substantial adverse effect include:

- persistent and significant difficulty in reading and understanding written material where this is in the person's native language, for example because of a mental impairment, a learning difficulty or a sensory or multi-sensory impairment;
- persistent distractibility or difficulty concentrating;
- difficulty understanding or following simple verbal instructions;
- physical impairment – for example, difficulty operating a computer because of physical restrictions in using a keyboard.

Factors that might reasonably be expected not to have a substantial adverse effect include:

- minor problems with writing or spelling;
- inability to read very small or indistinct print without the aid of a magnifying glass;
- inability to converse orally in a language which is not the speaker's native spoken language.

CONTROLLED ASSESSMENTS MANAGEMENT POLICY – JANUARY 2018

Reviewed at Teaching, Learning & Achievement Committee – 27 February 2018
Adopted at Full Governing Body Meeting - 27 March 2018
Review date – Spring Term 2020

This policy is reviewed alongside other examinations policies to ensure compliance with current regulations

Purpose of the policy

This purpose of this policy is to:

- *identify staff responsibilities in planning and managing GCSE controlled assessments;*
  [Taken from JCQ GCSE controlled assessments - Outlining staff responsibilities (editable template)]

- *examine potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions.*
  [Taken from JCQ GCSE controlled assessments - Risk management process (editable template)]

This policy complies with JCQ's 2016/17 *General Regulations 5.8* in that the centre is required to *"have in place, and be available for inspection purposes, a* ***written*** *policy with regard to the management of GCSE controlled assessments".*

This policy does not cover specific *instructions for conducting controlled assessments* which are provided by JCQ and awarding bodies.

Staff responsibilities in planning and managing GCSE controlled assessment (legacy GCSE qualifications)

AQA CCEA Edexcel OCR WJEC

For use by exams office staff

GCSE controlled assessments

Outlining staff responsibilities (editable example document)

The purpose of the editable example document that follows (**see pages 2 and 3**) is to help exams office staff identify their responsibilities in planning and managing GCSE controlled assessments alongside other colleagues.

It shows how responsibilities might be allocated to colleagues such as teachers and the senior leadership team.

Using the example document

Centres may choose to divide responsibilities in the ways suggested. Equally, they may find an entirely different way of working that is more appropriate for their needs. What is important is that there is a timely allocation of responsibilities.

Centres adapting this example document for their own requirements **must** ensure that:

- new versions are reviewed and approved by appropriate members of the senior leadership team; **and**
- they are fit for purpose **and** compatible with the existing policies and procedures of the centre.

Please note that this guidance is not part of the example document and must not be altered.

Outlining staff responsibilities - GCSE controlled assessments

Senior leadership team

- Accountable for the safe and secure conduct of controlled assessments.
  Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.

- At the start of the academic year, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments are spread throughout the academic years of Key Stage 4.)

- Map overall resource management requirements for the academic year. As part of this resolve:

    - clashes/problems over the timing or operation of controlled assessments;
    - issues arising from the need for particular facilities (rooms, IT networks, time out of school etc);

- Ensure that all staff involved have a calendar of events.

- Create, publish and update an internal appeals policy for controlled assessments.

Heads of Department/Faculty

- Decide on the awarding body and specification for a particular GCSE.

- Standardise internally the marking of all teachers involved in assessing an internally assessed component.

- Ensure that individual teachers fully understand their responsibilities with regard to controlled assessment.

- Ensure that individual teachers fully understand the requirements of the awarding body's specification, are familiar with the relevant teachers' notes **and** any other subject specific instructions.

- Where appropriate, develop new assessment tasks or adapt sample awarding body assessment tasks to meet local circumstances, in line with the awarding body's specification and control requirements.

Please note: this document is illustrative only

Teaching Staff

- Understand and comply with the general guidelines detailed within the JCQ publication *Instructions for conducting controlled assessments.*
- Understand and comply with the awarding body's specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the exams office details of all unit codes for controlled assessments.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to candidates as the specification allows.
- Ensure that candidates and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark scheme provided by the awarding body. Submit marks to the awarding body by the published deadline, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the appropriate special educational needs coordinator (SENCo) for any assistance required for the administration and management of access arrangements.

Examinations Office Staff

- Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute marksheets for teaching staff to use if not using electronic marksheet entry.
- **In exceptional circumstances** where controlled assessments cannot be conducted in the classroom, arrange suitable accommodation where controlled assessments can be carried out at the direction of the senior leadership team.

Special Educational Needs Co-ordinator/additional learning support

- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.

Please note: this document is illustrative only

3

For use by exams office staff

GCSE controlled assessments

Risk management process (editable template)

This editable template examines potential risks and issues relating to the implementation of controlled assessment for GCSE qualifications and how these might be managed and mitigated through forward planning and remedial actions. We hope it will provide a useful starting point for exams office staff when discussing with colleagues risks and issues that might apply to their centre.

Using the risk management process template
The list of possible risks and issues featured in this template is purely illustrative for an individual centre to consider and adapt to their own needs. There are blank rows under each heading for you to fill in.

A blank column entitled 'Staff' has been included on the template so centres can list the person
(or role):

- **responsible** for the risk/issue;
- **accountable** for the risk/issue;
- who should be **consulted** about this risk/issue;
- who should be **informed** if the risk/issue arises;

Any adapted list of risks and issues should be reviewed and approved by appropriate members of the senior leadership team. This will ensure that it is fit for purpose and compatible with the existing policies and procedures of the centre. The review should be repeated at regular intervals and kept up to date.

Please note: the above guidance is not part of the template and must not be altered.

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

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action		Staff
	Forward planning	***Action***	
Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	Subject Teacher
Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the controlled assessment schedule	Examinations Officer
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Subject Teacher
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Subject Teacher

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action		Staff
	Forward planning	***Action***	
Control levels for task taking			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	Head of Department

Supervision			
Student study diary/plan not provided or completed*	Ensure teaching staff are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	Head of Department
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and their role in supervising assessments		Head of Department
A suitable supervisor has not been arranged for an assessment where teaching staff are **not** supervising	A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the awarding body's specification		Head of Department

* Not all GCSE controlled assessments will require the completion of a study diary or study plans

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action		Staff
	Forward planning	***Action***	
Task setting			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification**	Seek guidance from the awarding body	Head of Department
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Head of Department
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the awarding body to request/obtain different assessment tasks	Head of Department
Candidates' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Seek guidance from the awarding body	Head of Department
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	Head of Department

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

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action		Staff
	Forward planning	***Action***	
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines and the penalties for not meeting them	Mark what candidates have produced by the deadline Seek guidance from awarding body on further action	Subject Teacher
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body	Seek guidance from awarding body	Head of Department

	deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines)		
Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking	Find candidate and ensure authentication form is signed	Head of Department
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature Ensure authentication forms are signed as work is marked	Head of Department

Please note: The risks and issues included in this template are illustrative only

Example risks and issues	Possible remedial action		Staff
	Forward planning	***Action***	
Marking			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking Plan for sampling of marking during the practice phase	Arrange for re-marking Consult the awarding body's specification for appropriate procedures	Head of Department
Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation, i.e. when and how this activity must be conducted	Check with the awarding body whether a later standardisation event can be arranged	Head of Department

Please note: The risks and issues included in this template are illustrative only

EXAM CONTINGENCY PLAN – JANUARY 2018

Reviewed by Teaching, Learning & Achievement Committee - 27 February 2018
Adopted at Full Governing Body Meeting - 27 March 2018
Review date - Spring Term 2020

This policy is reviewed alongside other examinations policies to ensure compliance with current regulations

Purpose of the plan

This plan examines potential risks and issues that could cause disruption to the exams process at the centre. By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process.

Alongside internal processes, this plan is informed by scenarios contained in the *Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland.*

> *"It is the responsibility of the head of centre to ensure that his/her centre… has in place a written examination contingency plan/examinations policy which covers all aspects of examination administration. This will allow members of the senior leadership team to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle.*
> *(The examination contingency plan/examinations policy should also reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.)*
> [JCQ *General regulations for approved centres*5.3]

Causes of potential disruption to the exam process

1. Examinations Officer extended absence at key points in the exam process (cycle)

Criteria for implementation of the plan

Key tasks required in the management and administration of the exam cycle not undertaken including:

Planning
- *annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered*
- *annual exams plan not produced identifying essential key tasks, key dates and deadlines*
- *sufficient invigilators not recruited*

Entries
- *awarding bodies not being informed of early/estimated entries which prompts release of early information required by teaching staff*
- *candidates not being entered with awarding bodies for external exams/assessment*
- *awarding body entry deadlines missed or late or other penalty fees being incurred*

Pre-exams
- *invigilators not trained or updated on changes to instructions for conducting exams*
- *exam timetabling, rooming allocation; and invigilation schedules not prepared*
- *candidates not briefed on exam timetables and awarding body information for candidates*
- *exam/assessment materials and candidates' work not stored under required secure conditions*
- *internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators*

Exam time
- *exams/assessments not taken under the conditions prescribed by awarding bodies*

- *required reports/requests not submitted to awarding bodies during exam/assessment periods, for example very late arrival, suspected malpractice, special consideration*
- *candidates' scripts not dispatched as required for marking to awarding bodies*

Results and post-results

- *access to examination results affecting the distribution of results to candidates*
- *the facilitation of the post-results services*

Centre actions

- Training for another member of the support staff to fill in short term.
- Contact ICT schools to temporarily employ experienced exams officer

2. SENDCO extended absence at key points in the exam cycle

Criteria for implementation of the plan

Key tasks required in the management and administration of the access arrangements process within the exam cycle not undertaken including:

Planning

- *candidates not tested/assessed to identify potential access arrangement requirements*
- *centre fails to recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010*
- *evidence of need and evidence to support normal way of working not collated*

Pre-exams

- *approval for access arrangements not applied for to the awarding body*
- *centre-delegated arrangements not put in place*
- *modified paper requirements not identified in a timely manner to enable ordering to meet external deadline*
- *staff providing support to access arrangement candidates not allocated and trained*

Exam time

- *access arrangement candidate support not arranged for exam rooms*

Centre actions

- Senco has identified a member of her team to act as exams coordinator

3. Teaching staff extended absence at key points in the exam cycle

Criteria for implementation of the plan

Key tasks not undertaken including:

Early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received

Final entry information not provided to the exams officer on time; resulting in candidates not being entered for exams/assessments or being entered late/late or other penalty fees being charged by awarding bodies

Non-examination assessment tasks not set/issued/taken by candidates as scheduled

Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines

Centre actions

- Heads of Dept to organise cover

4. Invigilators - lack of appropriately trained invigilators or invigilator absence

Criteria for implementation of the plan

Failure to recruit and train sufficient invigilators to conduct exams

Invigilator shortage on peak exam days

Invigilator absence on the day of an exam

Centre actions

- Ensure enough invigilators available to be called upon
- Support staff to cover

5. Exam rooms - lack of appropriate rooms or main venues unavailable at short notice

Criteria for implementation of the plan *Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning* *Insufficient rooms available on peak exam days* *Main exam venues unavailable due to an unexpected incident at exam time*
Centre actions • Liaise with timetabler to organise alternative rooms

6. Failure of IT systems

Criteria for implementation of the plan *MIS system failure at final entry deadline* *MIS system failure during exams preparation* *MIS system failure at results release time*
Centre actions • Ensure IT Technician on site during exam season and on results days

7. Emergency evacuation of the exam room (or centre lock down)

Criteria for implementation of the plan *Whole centre evacuation (or lock down) during exam time due to serious incident resulting in exam candidates being unable to start, proceed with or complete their exams*
Centre actions • Invigilators to evacuate the room • All students sitting exams to be kept together and supervised • Once clearance given exams to be resumed noting time of absence

8. Disruption of teaching time – centre closed for an extended period

Criteria for implementation of the plan Centre closed or candidates are unable to attend for an extended period during normal teaching or study supported time, interrupting the provision of normal teaching and learning Centre closed interrupting the of normal teaching and learning *The centre to communicate with parents, carers and students about the potential for disruption to teaching time and plans to address this.* [Joint Contingency Plan (JCP) scenario 1]
Centre actions • SLT to liaise with county to organise alternative venue • Inform exam boards of situation

9. Candidates unable to take examinations because of a crisis – centre remains open

Criteria for implementation of the plan Candidates are unable to attend the examination centre to take examinations as normal *The centre to communicate with relevant awarding organisations at the outset to make them aware of the issue. The centre to communicate with parents, carers and candidates regarding solutions to the issue.* [JCP scenario 2]
Centre actions • Special considerations to be completed

10. Centre unable to open as normal during the exams period

Criteria for implementation of the plan Centre unable to open as normal for scheduled examinations (including *centre being unavailable for examinations owing to an unforeseen emergency*)

A centre which is unable to open as normal for examinations must inform each awarding organisation with which examinations are due to be taken as soon as is possible.[JCP scenario 5]
Centre actions • SLT to liaise with County to organise alternative venue

11. Disruption in the distribution of examination papers

Criteria for implementation of the plan Disruption to the distribution of examination papers to the centre in advance of examinations *The centre to communicate with awarding organisations to organise alternative delivery of papers.* [JCP scenario 3]
Centre actions • Contact exam boards

12. Disruption to the transportation of completed examination scripts

Criteria for implementation of the plan Delay in normal collection arrangements for completed examination scripts *The centre to communicate with relevant awarding organisations at the outset to resolve the issue.* [JCP scenario 4]
Centre actions • Contact exam boards and seek advice for alternative arrangements

13. Assessment evidence is not available to be marked

Criteria for implementation of the plan Large scale damage to or destruction of completed examination scripts/assessment evidence before it can be marked *It is the responsibility of the head of centre to communicate this immediately to the relevant awarding organisation(s) and subsequently to students and their parents or carers.* [JCP scenario 6]
Centre actions • Contact exam board for advice • Complete special consideration

14. Centre unable to distribute results as normal

Criteria for implementation of the plan Centre is unable to access or manage the distribution of results to candidates, or to facilitate post-results services *Centres to contact awarding organisations about alternative options.* [JCP scenario 11]
Centre actions • *Seek advice from exam board* • *Find alternative venue with ICT access and ensure IT Technician available*

Causes 8-14 – all scenarios, criteria and specific communications have been taken directly from the *Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland.*

Further guidance to inform and implement contingency planning

GOV.UK

*Emergency planning and response*Severe weatherExam disruption
https://www.gov.uk/guidance/emergencies-and-severe-weather-schools-and-early-years-settings
Teaching time lost due to severe weather conditions
https://www.gov.uk/government/publications/teaching-time-lost-due-to-severe-weather-conditions
Dispatch of exam scripts: yellow label service

Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning
https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service
Statutory guidance on school closures
https://www.gov.uk/government/publications/school-organisation-maintained-schools

Ofqual

Joint contingency plan in the event of widespread disruption to the examination system in England, Wales and Northern Ireland
https://www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland/joint-contingency-plan-in-the-event-of-widespread-disruption-to-the-examination-system-in-england-wales-and-northern-ireland

JCQ

General regulations for approved centres http://www.jcq.org.uk/exams-office/general-regulations
Guidance on *alternative site arrangements*http://www.jcq.org.uk/exams-office/forms
Instructions for conducting examinations
http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations
A guide to the special consideration process
http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance

Contingency planning

The qualifications regulators, awarding bodies and government departments responsible for education have prepared and agreed a Joint contingency plan for the examinations system in case of wide scale disruption as a result of a flu pandemic, adverse weather conditions or other event.
The joint contingency plan is designed to ensure consistency of response in the event of major disruption to the examinations system affecting significant numbers of candidates.
In addition, awarding bodies have their own well-established contingency plans in place to respond to disruptions. It is important that exams officers who are facing disruption liaise directly with the relevant awarding body/bodies.
Centres should prepare plans for any disruption to examinations as part of their general emergency planning. It is important to ensure that relevant centre staff are familiar with the plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.
In the event that the head of centre decides the centre cannot be opened for scheduled examinations, the relevant awarding body must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations.
The Joint contingency plan for the examination system in England, Wales and Northern Ireland may be downloaded from the Ofqual website:
https://www.gov.uk/government/publications/exam-system-contingency-plan-englandwales-and-northern-ireland

[Taken directly from JCQ *Instructions for conducting examinations*http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations, page iii]

EMERGENCY EVACUATION (EXAMS) POLICY – JANUARY 2018

Reviewed at Teaching, Learning & Achievement Committee –27 February 2018
Adopted at Full Governing Body Meeting - 27 March 2018
Review date - Spring Term 2020

This policy is reviewed alongside other examinations policies to ensure compliance with current regulations

Purpose of the policy

This policy details how the centre deals with an emergency evacuation of the exam room(s) by defining staff roles and responsibilities and confirming the emergency evacuation procedure

When is an emergency evacuation required?

An emergency evacuation is required where it is unsafe for candidates to remain in the exam room. This might include a fire in the exam room, the fire alarm sounding to warn of fire, bomb alert or other serious threat.
In exceptional situations, where candidates might be severely disadvantaged or distressed by remaining in the exam room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the exam room, serious illness of a candidate or invigilator or similarly serious incidents.

Emergency evacuation of an exam room

Roles and responsibilities

Head of Centre

- Ensures the emergency evacuation policy for exams is fit for purpose and complies with relevant health and safety regulation

Senior Leader

- Where responsible for the centre-wide emergency evacuation procedure, ensures all staff and appointed fire marshals are aware of the policy and procedures to be followed when an emergency evacuation of an exam room is required

Special Educational Needs & Disabilities Co-ordinator (SENDCO)

- Ensures appropriate arrangements are in place for the emergency evacuation of a disabled candidate from an exam room where different procedures or assistance may need to be provided for the candidate
- Ensures the candidate is informed prior to taking their exams of what will happen in the event of an emergency evacuation

Examinations Officer

- Ensures invigilators are trained in emergency evacuation procedures and how an incident and actions taken must be recorded
- Ensures candidates are briefed, prior to exams taking place, on what will happen in the event of an emergency in the exam room
- Provides invigilators with a copy of the emergency evacuation procedures for every exam room

- Provides a standard invigilator announcement for each exam which includes appropriate information for candidates regarding what will happen if the fire alarm sounds
- Provides an exam room incident log in each exam room
- Liaises with the SENDCO and other relevant staff prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Briefs invigilators prior to each exam where different procedures or assistance may need to be provided for a disabled candidate
- Ensures appropriate follow-up is undertaken after an emergency evacuation reporting the incident to the awarding body and the actions taken through the *special consideration* process

Invigilators

- By attending training, ensure they understand what to do in the event of an emergency in the exam room
- Follow the actions required in the emergency evacuation procedure issued to them for every exam room
- Confirm with the exams officer, where different procedures or assistance may need to be provided for a disabled candidate they are invigilating

Other Relevant Centre Staff

- Support the senior leader, SENDCO, exams officer and invigilators in ensuring the safe emergency evacuation of exam rooms

Emergency Evacuation Procedure

Invigilators are trained in this procedure and understand the actions they must take in the event of a fire alarm or other emergency that leads to an evacuation of the exam room.

Emergency evacuation procedure
Actions to be taken (as detailed in the current JCQ *Instructions for conducting examinations chapter 18, Emergencies*)
Stop the candidates from writing
Collect the attendance register (in order to ensure all candidates are present)and evacuate the examination room in line with the instructions given by the appropriate authority
Evacuate the examination room in line with the instructions given by the appropriate authority
Candidates should leave the room in silence
Make sure that the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination
Make a note of the time of the interruption and how long it lasted.
Allow the candidates the full working time set for the examination.
If there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the examination
Make a full report of the incident and of the action taken, and send to the relevant awarding body
Additional centre-specific actions to be taken

NON-EXAMINATION ASSESSMENT POLICY – JANUARY 2018

Reviewed at Teaching, Learning & Achievement Committee –27 February 2018
Adopted at Full Governing Body Meeting – 27 March 2018
Review date – Spring Term 2020

This policy is reviewed alongside other examinations policies to ensure compliance with current regulations

What does this policy affect?

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

> *"The regulator's definition of an examination is very narrow and 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'."*

[Definition taken directly from the JCQ publication *Instructions for conducting non-examination assessments– Foreword, page 3*]
This publication is further referred to in this policy as NEA

Purpose of the policy

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

- *cover procedures for planning and managing non-examination assessments*
- *define staff roles and responsibilities with respect to non-examination assessments*
- *manage risks associated with non-examination assessments*

[*NEA – The basic principles, page 4*]

What are non-examination assessments?

"Non-examination assessments measure subject-specific knowledge and skills that cannot be tested by timed written papers.
There are three assessment stages and rules which apply to each stage. These rules often vary across subjects. The stages are:

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

[*NEA – The basic principles, page 4*]

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

The basic principles

Head of Centre

- Ensures that the centre's *non-examination assessment policy* is fit for purpose
- Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internally assessed marks

Senior Leaders

- Ensure the correct conduct of non-examination assessments which comply with NEA and awarding body subject-specific instructions
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year

Quality Assurance (QA) Lead/Lead Internal Verifier

- Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments are used by teachers and candidates
- Ensures appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body 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.

Subject Lead

- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process
- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments
- Works with the QA lead/Lead internal verifier to ensure appropriate procedures are followed to internally standardise/verify the marks awarded by subject teachers

Subject Teacher

- Understands and complies with the general instructions as detailed in NEA
- 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
- Ensures the exams officer is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code or is made as a separate unit entry code) to the internal deadline for entries

Exams Officer

- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

Task Setting

Subject Teacher

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

Issuing of tasks

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 and ensures that materials are stored securely at all times
- Ensures requirements for legacy specification tasks and new specification tasks are distinguished between

Task taking

Supervision

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
- Where candidates may work in groups, keeps a record of each candidate's contribution
- 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*

Advice and Feedback

Subject Teacher

- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a 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

Resources

Subject Teacher

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

Word and Time Limits

Subject Teacher

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

Collaboration and Group Work

Subject Teacher

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

Authentication Procedures

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
    - 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 NEA and informs the exams officer

Presentation of Work

Subject Teacher

- Instructs candidates to present work as detailed in NEA unless the awarding body's specification gives different subject-specific instructions
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work

Keeping Materials Secure

Subject Teacher

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session)
- When work is submitted by candidates for final assessment, ensures work is securely stored
- Follows secure storage instructions as defined in NEA 4.8
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the centre
- 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
- Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically

IT Manager

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

Task marking – externally assessed components

Conduct of externally assessed work

Subject Teacher

- Liaises with the exams officer regarding arrangements for the conduct of any externally assessed non-examination component of a specification
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component

Examinations Officer

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

Submission of Work

Subject Teacher

- Provides the attendance register to a Visiting Examiner

Examinations Officer

- Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent
- Where candidates' work must be despatched to an awarding body's examiner, ensures the completed attendance register accompanies the work
- Keeps a copy of the attendance register until after the deadline for enquiries about results for the exam series
- Packages the work as required by the awarding body and attaches the examiner address label
- Despatches the work to the awarding body's instructions by the required deadline

Task Marking – internally assessed components

Marking and annotation

Subject Teacher

- Marks candidates' work in accordance with the marking criteria provided by the awarding body
- Annotates candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria
- Informs candidates of their marks which could be subject to change by the awarding body moderation process
- Ensures candidates are informed in a timely manner to enable an internal appeal to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body

Internal Standardisation

Quality assurance (QA) lead/Lead internal verifier

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

Subject Teacher

- Indicates on work (or cover sheet) the date of marking

- Marks to common standards

Consortium Arrangements

Subject Lead

- Ensures a consortium co-ordinator is nominated(where this may be required as the consortium lead)
- Liaises with the exams officer to ensure form JCQ/CCA is submitted to the awarding body for each exam series affected
- Ensures procedures for internal standardisation as a consortium are followed

Subject Teacher

- Provides marks to the exams officer to the internal deadline
- Provides the moderation sample to the exams officer to the internal deadline

Examinations Officer

- Arranges completion of form JCQ/CCA *Centre consortium arrangements for centre - assessed work*
- Submits form JCQ/CCA to the deadline for each exam series affected
- Submits marks to the awarding body deadline
- Where relevant, liaises with other consortium exams officers to arrange despatch of a single moderation sample to the awarding body deadline
- Where relevant (as the consortium lead), retains all candidates' work in the consortium until after the deadline for enquiries about results for the exam series

Submission of Marks and Work for Moderation

Subject Teacher

- Inputs and submits 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, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Submits the requested samples of candidates' work to the 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
- 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

Examinations Officer

- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- Ensures that for postal moderation
    - work is dispatched in packaging provided by the awarding body
    - moderator label(s) provided by the awarding body are affixed to the packaging
    - proof of dispatch is obtained and kept on file until the successful issue of final results
- 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

Storage and Retention of Work after Submission of Marks

Subject Teacher

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

Examinations Officer

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

External moderation – feedback

Subject Lead

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

Examinations Officer

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

Access Arrangements

Subject Teacher

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

Special Educational Needs & Disability Co-ordinator (SENDCO)

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

Special Consideration

Subject Teacher

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate
    - is absent
    - produces a reduced quantity of work
    - work has been lost
- Liaises with the exams officer when special consideration may need to be applied for a candidate taking assessments

Examinations Officer

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

Malpractice

Head of Centre

- Understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*

Subject Teacher

- Is aware of the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work*
- Ensures candidates understand the JCQ document *Information for candidates - non-examination assessments*
- Ensures candidates understand the JCQ document *Information for candidates - Social Media*

Examinations Officer

- Signposts the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* to the head of centre
- Signposts the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work* to subject heads
- Signposts candidates to the relevant JCQ information for candidates documents
- Where required, supports the head of centre in investigating and reporting incidents of suspected malpractice

Enquiries about Results

Head of Centre

- Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an enquiry about results request or not supporting an appeal following the outcome of an enquiry about results

Subject Lead

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

Subject Teacher

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

Examinations Officer

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication *Post Results Services, Information and guidance for centres*
- Provides/signposts relevant centre staff and candidates to post-results services information

- Ensures any requests for post-results services that are available to non-examination assessments are submitted online via the awarding body secure extranet site to deadline
- Collects candidate consent where required

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

Head of Centre

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the prescribed practical activities

Subject Lead

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England*
- Ensures a response is provided to JCQ indicating which awarding body the centre intends to use for its entries in A level Biology, Chemistry and Physics (in Autumn 2016)
- Undertakes training provided by the awarding body on the implementation of the practical endorsement
- Disseminates information to subject teachers ensuring the standards can be applied appropriately
- Liaises with all relevant parties in relation to arrangements for and conduct of the monitoring visit

Subject Teacher

- Ensures all the requirements in relation to the endorsement are known and understood
- Ensures the required arrangements for practical activities are in place
- Provides all the required centre records
- Ensures candidates provide the required records
- Provides any required information to the subject lead regarding the monitoring visit
- Assesses candidates using Common Practical Assessment Criteria (CPAC)
- Applies for an exemption where a candidate cannot access the practical endorsement due to a substantial impairment
- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome

Examinations Officer

- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment

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

Head of Centre

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the Spoken Language endorsement

Quality assurance (QA) lead/Lead internal verifier

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

Subject Lead

- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England*
- Ensures the required task setting and task taking instructions are followed by subject teachers

- Ensures subject teachers assess candidates, either live or from recordings, using the common assessment criteria
- Ensures for monitoring purposes, audio-visual recordings of the presentations of a sample of candidates are provided

Subject Teacher

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

Examinations Officer

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

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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
Issuing of tasks		
Task for legacy specification given to candidates undertaking new specification	*Ensures subject teachers take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications* *Awarding body guidance sought where this issue remains unresolved*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
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)*	Head of Department

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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*	Head of Department
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 (chapter 9 Malpractice) are followed* *An internal investigation and where appropriate internal disciplinary procedures are followed*	Head of Department
Access arrangements 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 (chapter 2), to determine the process to be followed to apply for special consideration for the candidate*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment	*Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work*	Head of Department

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Candidate plagiarises other material	*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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
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*	Head of Department
A candidate is absent on the day of the examiner visit for an unacceptable reason	*The candidate is marked absent on the attendance register*	Head of Department
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*	Head of Department

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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 (chapter 5), to determine eligibility and the process to be followed for shortfall in work*	Head of Department
The work of a candidate is lost or damaged	*Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 5), to determine eligibility and the process to be followed for lost or damaged work*	Head of Department
Candidate malpractice is discovered	*Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 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*	Head of Department
A teacher marks the work of his/her own child	*A conflict of interest is declared by informing the awarding body that a teacher is teaching his/her own child at the start of the course* *Marked work of said child is submitted for moderation whether part of the sample requested or not*	Head of Department
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 (chapter 5), to determine eligibility and the process to be followed for non-examination assessment extension*	Head of Department
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 (chapter 2), to determine eligibility and the process to be followed to apply for special consideration for candidates*	Head of Department
A candidate wishes to appeal 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 at least two weeks 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 prior to the submission of marks to the awarding body*	Head of Department
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*	Head of Department

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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*	Head of Department
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)*	Head of Department