

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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Centre staff malpractice	Records confirm that relevant centre staff are familiar with and follow the current JCQ publication Instructions for conducting non-examination assessments and the JCQ document Notice to Centres - Sharing NEA material and candidates' work .	HODs, SLT
Candidate malpractice	Records confirm that candidates are informed and understand they must not: submit work which is not their own / make available their work to other candidates through any medium / allow other candidates to have access to their own independently sourced material / assist other candidates to produce work / use books, the internet, AI or other sources	HODs

	<p>without acknowledgement or attribution / submit work that has been word processed by a third party without acknowledgement / include inappropriate, offensive or obscene material.</p> <p>Records confirm that candidates have been made aware of the JCQ documents Information for candidates - non-examination assessments and Information for candidates - Social Media - and understand they must not post their work on social media</p>	
<p>Task setting</p>		
<p>Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online</p>	<p>Awarding body key date for accessing/downloading set task noted prior to start of course</p> <p>IT systems checked prior to key date</p>	<p>Subject lead, IT department</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	<p>Alternative IT system used to gain access</p> <p>Awarding body contacted to request direct email of task details</p>	
<p>Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification</p>	<p>Ensures that subject teachers access awarding body training information, practice materials etc.</p> <p>Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification</p> <p>Samples assessment criteria in the centre set task</p>	<p>HODs SLT</p>

	Samples assessment criteria in the centre set task	
Candidates do not understand the marking criteria and what they need to do to gain credit	<p>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</p> <p>Records confirm all candidates understand the marking criteria</p> <p>Candidates confirm/record they understand the marking criteria</p>	Subject lead, teacher
Subject teacher long term absence during the task setting stage	See centre's examination contingency plan (Teaching staff extended absence)	Not Applicable

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Issuing of tasks		
Awarding body set task not issued to candidates on time	<p>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course</p> <p>Course information issued to candidates contains details when set task will be issued and needs to be completed by</p> <p>Set task accessed well in advance to allow time for planning, resourcing and teaching</p>	HODs SLT

<p>The wrong task is given to candidates</p>	<p>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates</p> <p>Awarding body guidance sought where this issue remains unresolved</p>	<p>HOD, SLT</p>
<p>Subject teacher long term absence during the issuing of tasks stage</p>	<p>See centre's examination contingency plan (Teaching staff extended absence)</p>	<p>Not Applicable</p>
<p>A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded</p>	<p>Ensures the candidate's presentation does not form part of the sample which will be recorded</p> <p>Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample</p>	<p>Teacher,SLT</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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	SLT
Rooms or facilities inadequate	Timetabling organised to allocate appropriate rooms	Exams

<p>for candidates to take tasks under appropriate supervision</p>	<p>and IT facilities for the start of the course</p> <p>Staggered sessions arranged where IT facilities insufficient for number of candidates</p> <p>Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</p>	<p>officer, SLT, IT department</p>
<p>Insufficient supervision of candidates to enable work to be authenticated</p>	<p>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</p> <p>Confirm subject teachers understand their role and responsibilities as detailed in the centre's Non-examination Assessment Policy</p>	<p>HODs SLT</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
<p>A candidate is suspected of malpractice prior to submitting their work for assessment</p>	<p>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (Malpractice section) are followed</p> <p>An internal investigation and where appropriate internal disciplinary procedures are followed</p>	<p>Teacher, EO, HOC</p>
<p>Access arrangements were not put in place for an assessment where a candidate is approved for arrangements</p>	<p>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate</p>	<p>SENCO, EO</p>

Advice and feedback

<p>Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work</p>	<p>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</p> <p>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</p> <p>Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component</p> <p>Candidate confirms/records advice and feedback given prior to starting on their work</p>	<p>HOD, teacher</p>
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Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
<p>Candidate claims no advice and feedback given by subject teacher during the task-taking stage</p>	<p>Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedure</p> <p>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</p> <p>Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component</p> <p>Candidate confirms/records advice and feedback given during the task-taking stage</p>	<p>HOD, teacher</p>

<p>A third-party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification</p>	<p>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant</p> <p>Records as detailed above are provided to confirm all assistance given</p> <p>Where appropriate, a suspected malpractice report is submitted to the awarding body</p>	<p>EO, SLT, HOC</p>
<p>Candidate does not reference information from published source</p>	<p>Candidate is advised at a general level to reference information before work is submitted for formal assessment</p> <p>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</p>	<p>HOD, Teacher</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion	
Candidate does not set out references as required	<p>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment</p> <p>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</p> <p>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure</p>	Teacher

	continued completion	
Candidate joins the course late after formally supervised task taking has started	A separate supervised session(s) is arranged for the candidate to catch up	teacher
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	Teacher, HOD
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	HOC, SLT

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	marking are made separately for the candidate	
Resources		
A candidate augments notes and resources between formally supervised sessions	<p>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions</p> <p>Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions</p> <p>Where work is stored on the centre's network, access for candidates is restricted between formally</p>	Teacher

	<p>supervised sessions</p>	
<p>A candidate fails to acknowledge sources on work that is submitted for assessment</p>	<p>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</p> <p>Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately</p> <p>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</p>	<p>Teacher</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Word and time limits		
<p>A candidate is penalised by the awarding body for exceeding word or time limits</p>	<p>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory</p> <p>Where limits are for guidance only, candidates are discouraged from exceeding them</p> <p>Candidates confirm/record any information provided to them on word or time limits is known and understood</p>	<p>HOD, Teacher</p>
Collaboration and group work		

<p>Candidates have worked in groups where the awarding body specification states this is not permitted</p>	<p>Records confirm the awarding body specification has been checked to determine if group work is permitted</p> <p>Awarding body guidance sought where this issue remains unresolved</p>	<p>HOD, teacher</p>
<p>Authentication procedures</p>		
<p>A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment</p>	<p>Records confirm subject staff have been made aware of the JCQ document Notice to Centres - Sharing NEA material and candidates</p> <p>Records confirm that candidates have been issued with the current JCQ document Information for</p>	<p>HOC, SLT, Teacher</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
Candidate plagiarises other material	<p>candidates: non-examination assessments</p> <p>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</p> <p>The candidate's work is not accepted for assessment</p> <p>A mark of zero is recorded and submitted to the awarding body</p>	
Candidate does not sign their authentication	Records confirm that candidates have been issued with the current ICO document Information for	Teacher

<p>authentication statement/declaration</p>	<p>the current JCQ assessment information for candidates: non-examination assessments</p> <p>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</p> <p>Declaration is checked for signature before accepting the work of a candidate for formal assessment</p>	
<p>Subject teacher not available to sign authentication forms</p>	<p>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</p>	<p>HOD, teacher</p>
<p>Presentation of work</p>		

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
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	Teacher
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	<p>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments</p> <p>Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage</p>	Teacher

<p>Adequate secure storage not available to subject teacher</p>	<p>Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course</p> <p>Alternative secure storage sourced where required</p>	<p>HOC, HOD</p>
<p>Candidates work produced electronically is not securely stored</p>	<p>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments</p> <p>Internal processes and regular monitoring/internal audit by IT Manager ensures access to this material is restricted; appropriate security safeguards are in place; an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained; any sensitive digital media is encrypted</p>	<p>HOC, ICT Manager</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	<p>(according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it</p> <p>Additional details:</p>	
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	teacher

	If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate	
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked absent on the attendance register	teacher
Task marking – internally assessed components		
A candidate submits little or no work	<p>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body</p> <p>Where a candidate submits little work, the work produced is assessed against the assessment criteria</p>	teacher

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body	
A candidate is unable to finish their work for unforeseen reason	Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work	Exams officer, Teacher, HOC
The work of a candidate is lost or damaged	Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work	Not Applicable

<p>Candidate malpractice is discovered</p>	<p>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed</p> <p>Investigation and reporting procedures in the current JCQ publication Suspected Malpractice: Policies and Procedures are followed</p> <p>Appropriate internal disciplinary procedures are also followed</p>	<p>EO, SLT, HOC</p>
<p>A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g.</p>	<p>A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series</p> <p>Marked work of said candidate is submitted for moderation whether part of the sample requested or</p>	<p>EO, HOC</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
son/daughter)	not	
An extension to the deadline for submission of marks is required for a legitimate reason	<p>Awarding body is contacted to determine if an extension can be granted</p> <p>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension</p>	HOD, EO
After submission of marks, it is discovered that the wrong task was given to candidates	<p>Awarding body is contacted for guidance</p> <p>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section</p>	Teacher, EO, HOC

	<p>2), to determine eligibility and the process to be followed to apply for special consideration for candidates</p>	
<p>A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher</p>	<p>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body</p> <p>Records confirm candidates have been informed of their marks</p> <p>Candidates are informed that these marks are subject to change through the awarding body's moderation process</p> <p>Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the</p>	<p>Teacher</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	<p>exams officer for the submission of marks</p> <p>Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedure and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body</p>	
<p>Deadline for submitting work for formal assessment not met by candidate</p>	<p>Records confirm deadlines given and understood by candidates at the start of the course</p> <p>Candidates confirm/record deadlines known and understood</p> <p>Depending on the circumstances, awarding body</p>	<p>HOD, teacher</p>

	<p>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</p> <p>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</p>	
<p>Deadline for submitting marks and samples of candidates work ignored by subject teacher</p>	<p>Internal/external deadlines are published at the start of each academic year</p> <p>Reminders are issued through senior leaders/subject heads as deadlines approach</p> <p>Records confirm deadlines known and understood by subject teachers</p>	<p>SLT, HOD, HOC</p>

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
	Where appropriate, internal disciplinary procedures are followed	
Subject teacher long term absence during the marking period	See centre's examination contingency plan (Teaching staff extended absence)	Not Applicable

