



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

Issue/Risk	Centre actions to manage issue/mitigate risk	Action by
<b>Task setting</b>		
Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online	Awarding body key date for accessing/downloading set task noted prior to start of course IT systems checked prior to key date Alternative IT system used to gain access Awarding body contacted to request direct email of task details	Subject Teacher  Network Manager  Exams & Data Manager
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	Curriculum Manager
Candidates do not understand the marking criteria and what they need to do to gain credit	A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates Records confirm all candidates understand the marking criteria Candidates confirm/record they understand the marking criteria	Subject Teacher
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	Curriculum Manager/SLT
<b>Issuing of tasks</b>		
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	Subject Teacher  Curriculum Leader
Awarding body set task not issued to candidates on time	Awarding body key date for accessing set task as detailed in the specification noted prior to start of course Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching	Subject Teacher
The wrong task is given to candidates	Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates Awarding body guidance sought where this issue remains unresolved	Subject Teacher  Curriculum Leader
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	Curriculum Leader/SLT



<b>Task taking</b>		
<b>Supervision</b>		
Planned assessments clash with other centre or candidate activities	Assessment plan identified for the start of the course Assessment dates/periods included in centre wide calendar	Subject Teacher/GB
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)	Exams & Data Manager Operations Manager Network Manager
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	Exams & Data Manager  Curriculum Leader
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	Curriculum Leader
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	Exams and Data Manager
<b>Advice and feedback</b>		
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	Curriculum Leader
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	Curriculum Leader
A third party claims that assistance was given to	An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant	Curriculum Leader/HoC



candidates by the subject teacher over and above that allowed in the regulations and specification	Records as detailed above are provided to confirm all assistance given Where appropriate, a suspected malpractice report is submitted to the awarding body	
Candidate does not reference information from published source	Candidate is advised at a general level to reference information before work is submitted for formal assessment Candidate is again referred to the JCQ document Information for candidates: non-examination assessments Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion	Subject Teacher
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	Subject Teacher
Candidate joins the course late after formally supervised task taking has started	A separate supervised session(s) is arranged for the candidate to catch up	Subject 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	Curriculum Leader
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	Curriculum Leader Exams and Data Manager
<b>Resources</b>		
A candidate augments notes and resources between formally supervised sessions	Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions	Subject Teacher  Network Manager
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	Subject Teacher
<b>Word and time limits</b>		
A candidate is penalised by the	Records confirm the awarding body specification has been checked to determine if word or time	Subject Teacher



awarding body for exceeding word or time limits	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	
<b>Collaboration and group work</b>		
Candidates have worked in groups where the awarding body specification states this is not permitted	Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved	Subject Teacher Curriculum Leader
<b>Authentication procedures</b>		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment  Candidate plagiarises other material	Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments The candidate's work is not accepted for assessment A mark of zero is recorded and submitted to the awarding body	Exams and Data Manager  Subject Teacher  Curriculum Leader
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	Exams and Data Manager  Subject Teacher
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	Curriculum Leader
<b>Presentation of work</b>		
Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment	Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment	Subject Teacher
<b>Keeping materials secure</b>		
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	Exams and Data Manager Curriculum Leader
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	Curriculum Leader



	Alternative secure storage sourced where required	SLT
<b>Task marking – externally assessed components</b>		
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	Subject Teacher Exams and Data Manager
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked absent on the attendance register	Subject Teacher
<b>Task marking – internally assessed components</b>		
A candidate submits little or no work	Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body	Subject Teacher
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	Exams and Data Manager
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	Exams and Data Manager
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	Curriculum Leader
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	HoC Exams and Data Manager
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	Subject Teacher Exams and Data Manager
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	Exams and Data Manager
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	Subject Teacher



	<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 at least two weeks prior to the internal deadline set by the exams officer for the submission of marks</p> <p>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</p>	Exams and Data Manager
Deadline for submitting work for formal assessment not met by candidate	<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 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>	Subject Teacher
Deadline for submitting marks and samples of candidates work ignored by subject teacher	<p>Internal/external deadlines are published at the start of each academic year</p> <p>Reminders are issued through Curriculum Leaders as deadlines approach</p> <p>Records confirm deadlines known and understood by subject teachers</p> <p>Where appropriate, internal disciplinary procedures are followed</p>	Curriculum Leaders HoC
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)	Curriculum Leader/SLT