The Holt School
Non - Examination Assessment Policy

April 2019

Version	DATE	DESCRIPTION
1	April 2017	Policy review
2	April 2018	Policy review and addition of BTEC appendices
3	April 2019	Policy Review – no changes

Reviewed	April 2019
Responsibility	Ms K Royle and Mrs H Cross
Committee	Standards and curriculum
Review Date	April 2020

Contents

What does this policy affect?

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

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*

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."*

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 JCQ 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 head/lead

- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process
- Ensures JCQ 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 by JCQ
- 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 JCQ authentication procedures and malpractice information informs the exams officer

Presentation of work

Subject teacher
- Instructs candidates to present work as detailed by JCQ 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 by JCQ
- 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

Exams 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

Exams 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

Please see Appendix 1 for BTEC assessment and internal verification procedures

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 head/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

Exams 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 marks to marksheets set up by the exam officer to the internal deadline
- Ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors
- 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

Exams officer
- Submits marks via EDI, keeping a record of the marks submitted to the external deadline
- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted
- 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.)

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

Exams 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 coordinator (SENCo)
- 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

Exams 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*

Exams 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

Please see Appendix 2 for BTEC malpractice procedures

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 head/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

Exams 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 head/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

Exams 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 head/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

Exams 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

Key for staff abbreviations:

HoC   Head of centre
SLT   Senior leadership team
HoD   Head of department
TS   Teaching staff
EO   Exam officer
IT   IT Support

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*	TS/ IT
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*	HoD/ TS
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*	HoD/ TS
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*	SLT/ HoD
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*	HoD/ TS
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*	HoD/ TS
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*	HoD/ TS
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*	SLT/ HoD
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/ HoD

Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	*Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course* *Staggered sessions arranged where IT facilities insufficient for number of candidates* *Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)*	
Insufficient supervision of candidates to enable work to be authenticated	*Confirm subject teachers are aware of and follow the current JCQ publication Instructions for conducting non-examination assessments and any other specific instructions detailed in the awarding body's specification in relation to the supervision of candidates* *Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy*	SLT/ HoD
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*	SLT/ HoD
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*	SENCO
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*	HoC/ SLT
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*	HoC/ SLT
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*	HoC/ SLT
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*	HoD/ TS
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*	HoD/ TS

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*	HoD/ TS
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*	EO
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*	EO
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*	HoD/ TS
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*	HoD/ TS
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*	HoD/ TS
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*	HoD/ TS
Authentication procedures		
A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment Candidate plagiarises other material	*Records confirm subject staff have been made aware of the JCQ document Teachers sharing assessment material and candidates' work* *Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments* *Candidates confirm/record that they understand what they need to do to comply with the regulations for non-examination assessments as outlined in the JCQ document Information for candidates: non-examination assessments* *The candidate's work is not accepted for assessment* *A mark of zero is recorded and submitted to the awarding body*	HoC/ SLT
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*	HoD/ TS
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*	SLT/ HoD
Presentation of work		
Candidate does not fully complete the awarding body's	*Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment*	HoD/ TS

cover sheet that is attached to their worked submitted for formal assessment		
Keeping materials secure		
Candidates work between formal supervised sessions is not securely stored	*Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments* *Regular monitoring ensures subject teacher use of appropriate secure storage*	HoD/ TS
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*	HoD/ TS
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*	TS/ EO
A candidate is absent on the day of the examiner visit for an unacceptable reason	*The candidate is marked absent on the attendance register*	TS/ EO
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*	HoD/ TS
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*	HoD/ TS/ EO
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*	HoD/ TS/ EO
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*	HoC/ SLT
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*	HoD/ EO
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*	HoD/ EO
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*	HoC/ SLT
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*	HoD/ TS

	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	EO
	Through the exam policy, 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	
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*	HoD/ TS
	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	HoD/ EO
	Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate	
Deadline for submitting marks and samples of candidates work ignored by subject teacher	*Internal/external deadlines are published at the start of each academic year*	EO/ HoD
	Reminders are issued through senior leaders/subject heads as deadlines approach	
	Records confirm deadlines known and understood by subject teachers	
	Where appropriate, internal disciplinary procedures are followed	
Subject teacher long term absence during the marking period	*See centre's exam contingency plan (Teaching staff extended absence at key points in the exam cycle)*	SLT/ HoD

Appendix 1: Assessment and Internal Verification of BTECs

The role of internal verification is a quality assurance procedure to entail that assignment briefs are 'fit for purpose' and allow the learner the opportunity to meet unit grading criteria, and furthermore to ensure that assessor decisions are rigorous and fair.

Teachers and assessors of BTEC courses should note the following points which refer to the internal verification of:

(a) Assignment briefs

(b) Assessor decisions

The role of the Internal verifier/programme leader/HoD* is to:

- Ensure all assessors are briefed on BTEC assessment procedures and processes
- To agree an annual verification schedule with all assessors on a programme
- Carry out internal verification activities to the agreed schedule
- Ensure any recommendations are actioned
- Organise standardisation
- Keep suitable records and store in a secure place
- Direct any comments where appropriate to the original assessor
- Sign and date all paperwork and especially when signing off completed actions

*Please note that internal verification may take place as a shared activity within programme teams.

Internal Verification Schedule

All teaching teams must produce an IV schedule at the beginning of the academic year, which takes into account the following in a timely way:

(i) the internal verification of assignment briefs before they are issued to the learner

(ii) the internal verification of assessment decisions

(iii) to ensure every assessor on the programme is sampled over time

(iv) generic documentation must be used across the programme area in all IV procedures with clear dates and signatures included

(v) IV documentation should be kept securely to evidence an audit trail

Assignment briefs

(i) must be internally verified as 'fit for purpose' before being issued to learners

(ii) tasks and evidence criteria should allow the learner to address the target criteria

(iii) tasks should allow for differentiation

(iv) the level and language of the brief should be appropriate for the level

(v) tasks should be set in a vocationally relevant context

(vi) if any recommendations are made for the improvement of briefs, a follow up check must be made by the IV to ensure these have been carried out before the assignment is issued to learners

(vii) records must be kept of the whole process with clear dates and signatures of both the assessor and IV. If actions were identified these must be signed off by the IV and assessor

Internal Verification:

(i) Feedback on assessment decisions are made to the original assessor and not the learner.

(ii) learner work should be marked within two weeks of submission

(iii) internal verification of assessed work should take place no later than one month after the initial assessment allowing the identification of any problems at an early stage and in order to provide support to assessor

(iv) Clear feedback should be given to the assessor and if recommendations are made, or if decisions are not agreed then clear actions must be provided by the IV and when adjustments made dates and signatures must be obtained. Records must be kept of the whole process.

Standardisation

This will take place in the following circumstances:

(i) if there is more than one assessor

(ii) more than one team/site

(iii) where there are new assessors

(iv) where there are new standards

(v) issues following external verification

(vi) as a form of blind marking to ensure correct application of assessment criteria within a team

It is the role of the centre quality nominee to follow up any issues related to assessment decisions following external verification, and to ensure this is disseminated out to programme teams.

Appendix 2: BTEC malpractice Procedures

Aim:
- To identify and minimise the risk of malpractice by staff or learners.
- To respond to any incident of alleged malpractice promptly and objectively.
- To standardise and record any investigation of malpractice to ensure openness and fairness.
- To impose appropriate penalties and/or sanctions on learners or staff where incidents (or attempted incidents) of malpractice are proven specifically in line with BTEC standards.
- To protect the integrity of this centre and BTEC qualifications.

In order to do this, the centre will:
- seek to avoid potential malpractice by using the induction period and the student handbook to inform learners of the centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice
- show learners the appropriate formats to record cited texts and other materials or information sources
- ask learners to declare that their work is their own
- ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
- conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Head of Centre and all personnel linked to the allegation. It will proceed through the following stages:
    1. Examination of evidence [including meeting between learner, their parents, assessor or Lead Internal Verifier, Quality Nominee or SLT representative as appropriate]
    2. Decision reached
    3. Inform those involved of the decision

Where malpractice is proven, this centre will apply the following penalties / sanctions:
- Resubmission of all work within the assignment and where necessary the use of a modified assignment brief
- Automatic failure of the unit
- Removal from the qualification

Definition of Malpractice by Learners

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:
- plagiarism of any nature
- collusion by working collaboratively with other learners to produce work that is submitted as individual learner work
- copying (including the use of ICT to aid copying)
- deliberate destruction of another's work
- fabrication of results or evidence
- false declaration of authenticity in relation to the contents of a portfolio or coursework
- impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.

Definition of Malpractice by Centre Staff

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:
- improper assistance to candidates
- inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made
- failure to keep candidate coursework/portfolios of evidence secure
- fraudulent claims for certificates
- inappropriate retention of certificates

- assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner
- producing falsified witness statements, for example for evidence the learner has not generated
- allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework
- facilitating and allowing impersonation
- misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- falsifying records/certificates, for example by alteration, substitution, or by fraud
- fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.