



POLICY 1: EXAMINATION REGULATION

[This examination regulation must be read in conjunction with the Awarding Organisation Examination Regulations]

Checking examination materials upon receipt

The examination materials will be checked carefully upon receipt by an authorised person (usually the Dean, Academic and Quality Enhancement). The boxes containing the examination materials (but not the sealed envelopes containing the question papers and pre-released case study materials) will be opened to check that the centre has the appropriate consignments of question papers for each unit. The authorised person will check that the number of papers recorded on the sealed envelope corresponds to the number of candidates identified for each examination. After the examination materials have been checked the awarding organisation will be contacted to confirm that the materials have been received and checked. In the event that there is a problem with the materials received, the awarding organisation will be contacted immediately.

Secure storage of examination materials

The Centre has a secure storage room without any windows but has a solid construction and it is solely assigned to keep exam materials. Two locked cupboards are inside a secure storage room which is also locked. The keys of these rooms are held by the Principal and the Dean. Student electronic submissions are securely stored in Exam Officer's computer via personal log in.

All examination materials must be placed in secure storage immediately after receipt. If materials cannot be checked immediately upon receipt, they must be locked away until an authorised person is available to check the materials. Question papers and pre-released case study materials will also be locked away inside the secure storage.

Awarding organisations will be informed immediately if the security of the question papers or other confidential materials is put at risk by fire, theft, loss, damage, unauthorised disclosure or any other circumstances.

Examination start times

Morning examinations start at 9.30 am

Afternoon examinations start at 2.00 pm

Examination start times must not be adjusted unless permission is granted by the awarding organisation. The Centre will ensure that all students sitting examinations at the centre are advised if a different start time has been agreed with the awarding organisation.

Examination rooms requirements

Seating: The Centre will follow the following seating specifications unless there is a different specification is required by the awarding/accrediting organisation.

The spacing between adjacent desks will be at least 1.25 metres to allow invigilators to patrol unobtrusively and to prevent candidates from overlooking, intentionally or otherwise, the work of others. All candidates will be facing in the same direction and be seated in candidate number order.

Health and Safety, Heating, Lighting, Ventilation: The Centre will ensure adequate heating, lighting and ventilation.

Fire escape routes: Fire escape routes will be free from hazards. The Invigilators will ensure that the candidates are familiar with the fire alarm evacuation procedures.

Toilet facilities: Toilets are located reasonably closely to the examination room/s.

Clock: An appropriately sized clock will be visible to all candidates, set at the correct time and used to time the examination/s.

Extraneous noise etc: All reasonable steps will be taken to ensure that candidates will not be disturbed during the examination. The centre will make certain that any neighbouring rooms are not used for any activity that might generate a noise or other distraction.

Signs: Signs will be displayed outside the examination room to indicate both the location of the examination room/s, and that silence is required, e.g.: “SILENT – EXAMINATION IN PROGRESS”.

Location of examination room/s: The examination timetable together with the examination room numbers will be displayed on notice-boards and at the reception desk so that candidates

arriving at the main entrance are able to ascertain immediately the location of the examination room/s.

Display materials: No display materials which might be helpful to candidates will be visible in the examination room/s.

Invigilators

Invigilators must give their full attention to the proper conduct of the examination. The Centre will ensure at least two invigilators for every 25 candidates (unless there is only 1 candidate, in which case 1 invigilator is sufficient). The centre will ensure to put right Invigilators for the exams to avoid conflicts of interest e.g. an Invigilator must not be a programme leader/subject tutor/member of teaching team for programmes or a relative or friend of any examination candidate.

All invigilators must be fully conversant with the 'Instructions to Invigilators' which are detailed in Part B. The Centre will provide adequate training to all invigilators to bring them up to the speed with regard to the LSCI examination regulations and the Centre policy on conducting examinations. No invigilators will be allowed to invigilate any exam session without prior training.

Candidates with reasonable adjustments

Candidates requiring additional support during their examination in the form of reasonable adjustments must approach the Centre in advance of the examinations. All requests will be sent to the awarding/accrediting organisation for consideration. The Centre will advise invigilators if any candidates who have been granted reasonable adjustments in order that the necessary arrangements can be made prior to the examination session.

Academic Appeal

The Centre will follow the LSCI Academic Appeals policy should there be a case of an appeal.

LSCI Examination Regulations for the Invigilators

The Centre will prepare a robust seating plan based on the seating specification explained above. Candidates must follow the invigilators' instructions regarding the seating arrangements.

LSCI Examination Regulations for students

LSCI students appearing examinations **MUST** abide by the detailed Examination regulation of the awarding organisation concerned. LSCI will ensure that all its students on the programme of study strictly follow these regulations. In addition, LSCI will ensure that the candidates read the regulations and understand them.

LSCI will obtain a declaration from signed by the candidates agreeing that they have read and understood the regulations. Failure to comply with these regulations will be deemed malpractice, and may result in disqualification from the exam in question, or all examinations for that exam series. Repeated or serious malpractice, including attempted acts of impersonation, may lead to termination of your registration with the awarding organisation.

1. It is the candidate's responsibility to ensure they know the correct date, time and location of all their examinations. Exam fees are not refundable.

2. Please check your timetable carefully, and notify the Examinations Officer of LSCI immediately of any error or omission.

3. Candidates applying for any Reasonable Adjustment for their examination must do so by providing supporting evidence no later than the closing date for examination entries.

4. Please arrive at the examination room approximately 15–20 minutes before the examination start time. Candidates who arrive up to 45 minutes after the start time of the examination may still attempt the exam, but will **not** be granted extra time. Candidates who arrive after this time will not be permitted to sit the examination.

5. Candidates **must** bring with them:

- their admission permit
- valid photo ID (a valid passport, valid national identity card or UK photo card driving licence)
- pen, pencil, ruler etc (examination centre will not provide them).

6. All personal belongings must be left away from the exam desks at a designated location identified by the invigilator. This includes bags, coats, mobile phones, and mp3 players. Electronic equipment must be switched off. Any possessions brought to the exam desk may be checked for unauthorised materials.

In addition, the following key points will be read out to the candidates before the start of the exam by the invigilator(s) on duty.

7. Examination conditions apply as soon as candidates enter the exam venue. Refusal to follow instructions from the invigilator will be deemed malpractice and may lead to disqualification.

8. It is the candidate's responsibility to ensure they have been given the correct question paper. If you believe that you have been given a wrong question paper, please raise your hand to inform the invigilator immediately.

9. Do not open the question paper and begin the examination until instructed by the invigilator.

10. Write all your answers with a blue or black pen. Pencil should only be used for producing graphs and diagrams.

11. Start each question on a new page. If a question has sub-parts i.e. a), b) etc, these do not need to be started on a new page.

12. If you wish to speak to the invigilator, raise your hand and wait for them to come to your desk. Do not call out or leave your desk.

13. You must not ask for, and will not be given, any explanation of the questions.

14. Candidates must not communicate with any other person during the examination, except the invigilator. Do not disturb other candidates, or attempt to borrow any items from them.

15. Any attempt to communicate or collude with, copy from, or disrupt in any other way another candidate, will be deemed malpractice and will result in disqualification.

16. If you wish to use the toilet, raise your hand to attract the attention of the invigilator. Candidates must leave quietly and show consideration for their fellow candidates.

17. Candidates who have finished writing and wish to leave the examination room may do so once the exam has been in progress for one hour and with the permission of the invigilator. Please hand your answer booklet and question paper to the invigilator, and leave the room quietly. Re-entering the room is not permitted.

18. Candidates must start and stop writing when instructed to do so by the invigilator.

19. Candidates must not remove answer books or question papers from the examination room. Any answer books that have been removed from the room will be cancelled.

20. In the event of a fire alarm or other emergency requiring evacuation, the invigilator will instruct candidates to leave all materials on the desk, leave the room in an orderly fashion, and assemble at the designated area outside. Candidates must not communicate with each other as they are still under examination conditions.

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Examination regulation
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POLICY2: EXAM CONTINGENCY PLAN

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*.

This plan complies with JCQ general regulations (section 5) in that:

The centre agrees to “*have 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;*”

Causes of potential disruption to the exam process

- **Exam 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 and trained

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

- 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 e.g. very late arrival, suspected malpractice, special consideration
- candidates' scripts not dispatched as required 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:

We have two examinations Officers responsibility on two senior members of staff, the Principal and the Dean. So in absence of the one the other will perform this very important job role.

- **SENCo 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
- 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
- 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:

Examinations Officers to work with Senior Management Team (SMT) to identify students where applications for access arrangements may be required. The SMT will deploy to cover the SENCo role, if required.

- **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*
- *Internal assessment marks and candidates' work not provided to meet submission deadlines*

Centre actions:

- The Examinations Officer to liaise with the Principal and/or SMT, if necessary, to ensure all necessary deadlines are adhered to.
- Exams officer will use agency teachers or recruit substitute teachers to continue with the teaching so that the students are not disadvantaged.

- **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:

- Examinations Officers will review the invigilation staffing at the start of each academic year to ensure sufficient staff are recruited and trained in a timely fashion.
- Exams officer will use agency invigilators or teachers who do not teach the subject

- **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:

The exams officers will allow sufficient time to identify appropriate rooms and plan appropriately. The College have many unused rooms so we do not foresee any shortage of examination rooms.

- **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:

- The College endeavors to minimise any ICT disruption via resilient design and preventative maintenance. In the event of an issue this would be dealt with the ICT support team who test and update the systems on a regular basis. Where such failure impacted on scheduled exams, steps would be taken to resolve the problem as quickly as possible.
- In the worst case scenario, get SIMS access through another computer i.e. from home, or another SIMS user

- **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

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:

- Where there is disruption to teaching time and students miss teaching and learning, it remains the responsibility of the centre to prepare students, as usual, for examinations.
- Centre will hire alternative venue for providing teaching to avoid any disruption.

- **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:

- The EO will contact the relevant AO to discuss alternative arrangements and liaise with the SMT to take appropriate action.
- The Centre to offer candidates an opportunity to sit any examinations missed at the next available series.

- **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

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:

- The EO will contact the relevant AO to discuss alternative arrangements and liaise with the SMT to take appropriate action.

- **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:

- Centre to discuss alternative delivery of papers to the centre

- **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:

- Centre will communicate with AO and organise alternative arrangements for delivery of scripts

- **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:

- Immediate communication to be made with relevant AO to notify them of any such incidents and act upon advice given

- **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:

- The EO will contact the AO to notify them of any such incidents and discuss alternative means of distribution

Causes 7-13 – 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

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

<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>

GOV.UK

Emergencies and severe weather: schools and early years settings

<https://www.gov.uk/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/teaching-time-lost-due-to-severe-weather-conditions>

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/dispatch-of-exam-scripts-guide>

POLICY 3: NON-EXAMINATION ASSESSMENT POLICY

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](#) – NEA Foreword, page 3]

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; and*
- *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
- To be familiar with Joint Council for Qualifications (JCQ) instructions for conducting non-examination assessment.
- Is responsible to relevant GCSE awarding bodies to ensure that all non-examination assessments are conducted according to qualification specifications.

Examinations Officer:

- To be familiar with JCQ instructions for conducting non-examination assessment and other related JCQ documents.
- To be familiar with general instructions relating to non-examination assessment from each relevant GCSE awarding organisation.
- Carries out tasks where these may be applicable to the role in supporting the administration/ management of non-examination assessment

Senior leaders

Ensure the correct conduct of non-examination assessments which comply with NEA and awarding organisation subject-specific instructions

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

Subject Teachers

- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specifications allow.
- Ensure that students and supervising teacher(s) sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding organisation. Via the subject leader, submit marks through the exams office to the awarding organisation when required, keeping a record of the marks awarded. (Where assessments are marked internally teachers may disclose marks to candidates provided

that it is made clear that the moderation process may result in changes to marks. They should NOT attempt to convert marks to grades in advance of the publication of results.)

- Take part in appropriate departmental standardisation of Controlled Assessments
- 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 special educational needs coordinator (SENCO) and the Examinations Officer for any assistance required for the administration and management of access arrangements.

SENCO

- To be familiar with JCQ instructions for conducting non-examination assessment with reference to special access arrangements
- In collaboration with the Examinations Officer Co-ordinate requests for special access arrangements

Quality assurance (QA) lead/Lead internal verifier

- Confirms with subject heads that appropriate awarding organisation 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 organisation 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 organisation, 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 NEA and relevant awarding organisation 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 standardise internally / 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 organisation, understands and complies with the awarding organisation's specification for conducting non-examination assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding organisation's website
- Marks internally assessed work to the criteria provided by the awarding organisation
- 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

Task setting

Subject teacher

- Selects tasks from a choice provided by the awarding organisation 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 organisation
- 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 organisation'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
- Allows candidates to revise and re-draft work after advice has been given at a general level to candidates
- 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 organisation'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 organisation's specification to determine where word and time limits apply/are mandatory

Collaboration and group work

Subject teacher

- Unless stated otherwise in the awarding organisation'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 organisation'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 organisation'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 Section 4.8](#)
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding organisation 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 organisation
- 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
- Where candidates' work must be dispatched to an awarding organisation's examiner, ensures the completed attendance register accompanies the work
- Packages the work as required by the awarding organisation and attaches the examiner address label
- Gives the package to the exams officer for dispatch to the awarding organisation

Exams officer

- Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner
- Ensures the awarding organisation's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent
- Dispatches the work to the awarding organisation
- Keeps a copy of the attendance register until after the deadline for enquiries about results for the exam series

Task marking – internally assessed components

Marking and annotation

Subject teacher

- Marks candidates' work in accordance with the marking criteria provided by the awarding organisation
- 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 organisation 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 organisation

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

Submission of marks and work for moderation

Subject teacher

- Inputs and submits marks online via the awarding organisation secure extranet site, keeping a record of the marks submitted to the awarding organisation deadline
- Ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked carefully before submission
- 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
- Ensures that for postal moderation

- o the requested sample of candidates' work is securely packaged in bags provided by the awarding organisation
- o moderator label(s) provided by the awarding organisation are affixed to the package(s)
- Gives the package(s) of candidates' work to the exams officer by the internal deadline

Exams officer

- Submits the requested samples of candidates' work to the awarding organisation moderator by the external deadline and keeps proof of dispatch on file until the successful issue of final results

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 artifacts etc.)

Exams officer

- Ensures any sample returned after moderation is logged and kept in secure storage for the required retention period

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 and College Reasonable Adjustment Policy*](#)
- 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 organisation 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 organisation's secure extranet site to the prescribed timescale

- Where application for special consideration via the awarding organisation's secure extranet site is not applicable, submits the required form to the awarding organisation 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 organisation 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 and College Malpractice Policy*](#)

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

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 organisation secure extranet site to deadline
- Collects candidate consent where required

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	<ol style="list-style-type: none"> 1. Awarding body key date for accessing/downloading set task noted prior to start of course. 2. IT systems checked prior to key date. 3. Alternative IT system used to gain access. 4. Awarding body contacted to request direct email of task details. 	Subject Teacher IT Manager Exams Officer
Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification	Ensures that subject teachers access awarding body training information, practice materials etc. Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification Samples assessment criteria in the centre set task	Subject Lead
Candidates do not understand the marking criteria and what they need to do to gain credit	A simplified version of the awarding body's marking criteria described in the specification that is not specific to the work of an individual candidate or group of candidates is produced for candidates Records confirm all candidates understand the marking criteria Candidates confirm/record they understand the marking criteria	Subject Lead
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	Subject Lead
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	Subject Lead
Awarding body set task not issued to candidates on time	Awarding body key date for accessing set task as detailed in the specification noted prior to start of course Course information issued to candidates contains details when set task will be issued and needs to be completed by Set task accessed well in advance to allow time for planning, resourcing and teaching	Subject Lead
The wrong task is given to candidates	Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates Awarding body guidance sought where this issue remains unresolved	Subject Lead
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	Subject Lead
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	Subject Lead Leadership Group
Rooms or facilities inadequate for candidates to take tasks under appropriate supervision	Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course Staggered sessions arranged where IT facilities insufficient for number of candidates Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)	Subject Lead Leadership Group

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	Subject Lead
A candidate is suspected of malpractice prior to submitting their work for assessment	Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (chapter 9 Malpractice) are followed An internal investigation and where appropriate internal disciplinary procedures are followed	Subject Teacher Subject Lead Leadership Group
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 Officer
Advice and feedback		
Candidate claims appropriate advice and feedback not given by subject teacher prior to starting on their work	Ensure a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the centre's quality assurance procedures Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component Candidate confirms/records advice and feedback given prior to starting on their work	Subject Lead
Candidate claims no advice and feedback given by subject teacher during the task-taking stage	Ensure 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	Subject Lead
A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification	An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant Records as detailed above are provided to confirm all assistance given Where appropriate, a suspected malpractice report is submitted to the awarding body	Subject Lead Exams Officer Head of Centre
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	Exams Officer
An excluded pupil wants to complete his/her non-examination assessment(s)	The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education If so, arrangements for supervision, authentication and marking are made separately for the candidate	Exams Officer
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	Subject Teacher IT 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

Word and time limits		
A candidate is penalised by the awarding body for exceeding word or time limits	Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory. Where limits are for guidance only, candidates are discouraged from exceeding them. Candidates confirm/record any information provided to them on word or time limits is known and understood	Subject Lead
Collaboration and group work		
Candidates have worked in groups where the awarding body specification states this is not permitted	Records confirm the awarding body specification has been checked to determine if group work is permitted Awarding body guidance sought where this issue remains unresolved	Subject Lead

Authentication procedures		
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	Subject Teacher Subject Lead Exams Officer Head of Centre
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	Subject Teacher Subject Lead
Subject teacher not available to sign authentication forms	Ensures a centre-wide process is in place for subject teachers to sign authentication forms at the point of marking candidates work as part of the centre's quality assurance procedures	Subject Lead
Presentation of work		
Candidate does not fully complete the awarding body's cover sheet that is attached to their work 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
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	Subject Lead
Adequate secure storage not available to subject teacher	Records confirm adequate/sufficient secure storage is available to subject teacher prior to the start of the course Alternative secure storage sourced where required	Subject Lead
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	Subject Teacher Exams Officer
A candidate is absent on the day of the examiner visit for an unacceptable reason	The candidate is marked absent on the attendance register	Subject Teacher Exams Officer
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	Subject Teacher Subject Lead

	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 (chapter 5), to determine eligibility and the process to be followed for shortfall in work	Subject Teacher Subject Lead Exams Officer
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	Subject Teacher Subject Lead Exams Officer
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	Subject Teacher Subject Lead Exams Officer Head of Centre
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	Subject Teacher Subject Lead Exams Officer
An extension to the deadline for submission of marks is required for a legitimate reason	Awarding body is contacted to determine if an extension can be granted Relevant staff are signposted to the JCQ 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 Subject Lead Exams Officer
After submission of marks, it is discovered that the wrong task was given to candidates	Awarding body is contacted for guidance Relevant staff are signposted to the JCQ publication A guide to the special consideration process (chapter 2), to determine eligibility and the process to be followed to apply for special consideration for candidates	Subject Teacher Subject Lead Exams Officer
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	Subject Teacher Subject Lead Exams Officer
Deadline for submitting work for formal assessment not met by candidate	Records confirm deadlines given and understood by candidates at the start of the course Candidates confirm/record deadlines known and understood Depending on the circumstances, awarding body guidance sought to determine if the work can be accepted late for marking providing the awarding body's deadline for submitting marks can be met Decision made (depending on the circumstances) if the work will be accepted late for marking or a mark of zero submitted to the awarding body for the candidate	Subject Teacher Subject Lead Exams Officer

<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 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</p>	<p>Subject Lead Exams Officer Leadership Group Head of Centre</p>
<p>Subject teacher long term absence during the marking period</p>	<p>See centre's exam contingency plan (Teaching staff extended absence at key points in the exam cycle)</p>	<p>Subject Lead</p>