



**Joint Council for
Qualifications**

**Instructions for conducting non-examination
assessments (new GCE & GCSE specifications)**

1 September 2015 to 31 August 2016

This document provides subject teachers, senior leaders and heads of centre with a single, definitive source of generic guidance and instructions for GCE and GCSE qualifications.

These instructions must be forwarded electronically to each subject leader within the centre.

Produced on behalf of:



PEARSON



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Foreword

This JCQ publication applies to reformed GCE and GCSE qualifications which have been accredited in England or Wales and which include a proportion of non-examination assessment.

It provides subject teachers, senior leaders and heads of centre with a single, definitive source of generic guidance and instructions.

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'.

The principles for non-examination assessment as determined by the qualification regulators for England and Wales are:

- non-examination assessment should only be used where it is the only valid means of assessing essential knowledge and skills;
- non-examination assessment must strike a balance between valid assessment of essential knowledge and skills, sound assessment practice and manageability;
- any non-examination assessment should be designed to fit the requirements of the particular subject including the relative weighting of written examinations.

1 Non-examination assessments: the basic principles

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.

How does JCQ monitor the management of non-examination assessments in centres?

The JCQ requires each centre to have a non-examination assessment policy in place:

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

A JCQ Centre Inspector will ask the examinations officer to confirm that such a policy is in place. The guidance provided in this document will help the head of centre to ensure that the centre's policy is fit for purpose. The policy will need to cover all types of non-examination assessment.

Which GCE and GCSE specifications are affected?

These instructions apply to all GCE and GCSE specifications with one or more non-examination assessment components, as defined within the awarding body's specification and which contribute to the main qualification grade.

See **Appendices 1 and 2** for instructions for the endorsements – Practical Skills (GCE A-level Biology, Chemistry and Physics) and Spoken Language (GCSE English Language – England only).

See the JCQ publication *Instructions for conducting examinations* for the conduct of the externally set GCE Art & Design component -

<http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>

2 Managing non-examination assessments: task setting

Who is involved in task setting?

Where the awarding body is responsible for task setting, centres make their selection(s) from a number of comparable tasks provided by the awarding body.

Where the centre is responsible for task setting, centres may:

- select from a number of comparable tasks provided by the awarding body; or
- design their own task(s), in conjunction with candidates where permitted, using criteria set out in the specification.

Where centres are responsible for task setting they must ensure that the assessment criteria, as detailed in the specification, can be met and tasks are accessible to candidates. Centres must refer to the awarding body's specification.

Is it permissible to give candidates a copy of the marking criteria?

Yes. Candidates should be aware of the criteria used to assess their work. They can then understand what they need to do to gain credit. Specifications describe the marking criteria in detail. It is perfectly acceptable for teachers to produce a simplified candidate-friendly version, provided that it is not specific to the work of an individual candidate or group of candidates.

3 Managing non-examination assessments: issuing of tasks

When are awarding body set tasks issued to centres?

You **must** consult the relevant awarding body's specification to obtain the date for the issuing of tasks. Awarding bodies issue tasks well in advance to allow time for planning, resourcing and teaching in centres.

Teachers must take care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications.

What action should be taken if the wrong task is given to candidates?

The centre must make arrangements for candidates to undertake the correct task. Awarding bodies will do all they can to protect candidates' interests but in some cases it may not be possible to accept work based on the wrong task. Centres should therefore, take great care to ensure that they issue the correct task to candidates.

4 Managing non-examination assessments : task taking

4.1 Supervision

Unless the awarding body's specification says otherwise, the following arrangements apply.

Invigilators and display of the JCQ *No Mobile Phone* poster and the JCQ *Warning to Candidates* are **not** required.

Candidates **do not** need to be directly supervised at all times. The use of resources, including the internet, is not tightly prescribed. Centres **must** always check the subject-specific requirements issued by the awarding body.

The centre **must** ensure that:

- there is sufficient supervision of every candidate to enable work to be authenticated;
- the work that an individual candidate submits for assessment is his/her own.

Work may be completed outside of the centre without direct supervision, provided that the centre is confident that the work produced is the candidate's own. Candidates may normally:

- have unlimited access to electronic and printed resources;
- use the internet without restriction;
- work in groups.

Where candidates work in groups, the teacher should keep a record of each candidate's contribution.

Centres **must** ensure that candidates 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* -

<http://www.jcq.org.uk/exams-office/information-for-candidates-documents>

In particular, centres **must** ensure that candidates:

- understand that information from published sources must be referenced;
- receive guidance on setting out references;
- are aware that they must not plagiarise other material.

4.2 Advice and feedback

As appropriate to the subject and component, centres should advise candidates on aspects such as those listed below before work begins:

- sources of information;
- relevance of materials/concepts;
- structure of the response (for example, chapter titles and content);
- techniques of data collection;
- techniques of data presentation;
- skills of analysis and evaluation;
- health and safety considerations.

Centres must **not** provide model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings).

What advice and feedback can I give to candidates during the task-taking stage?

Unless specifically prohibited by the awarding body's specification you may:

- review candidates' work and provide oral and written advice at a **general** level;
- having provided advice at a general level, allow candidates to revise and re-draft work.

General advice of this nature **does not** need to be recorded or taken into account when the work is marked.

If you give any assistance which goes beyond general advice, for example:

- provide detailed specific advice on how to improve drafts to meet the assessment criteria;
- give detailed feedback on errors and omissions which limits candidates' opportunities to show initiative themselves;
- intervene personally to improve the presentation or content of work;

then you **must** record this assistance and take it into account when marking the work.

Annotation should be used to explain how marks were applied in the context of the additional assistance given. (See section 6.1, page 14).

You must not provisionally assess work and then allow the candidate to revise it.

In all subjects you **must not** provide any type of assistance which is explicitly prohibited in the specification. Assistance **must not** be given if there is no means to record it and to take account of it in the marking.

Failure to follow this procedure constitutes malpractice.

4.3 Resources

What resources are allowed?

In many subjects candidates will need to gather information from published sources when researching and planning their tasks.

Candidates **normally** have unrestricted access to resources. Centres **must** refer to the awarding body's specification and/or associated documentation.

For all formally supervised sessions:

- the use of resources is always tightly prescribed and normally restricted to the candidate's preparatory notes;
- access to the internet **is not** permitted;
- candidates **are not** allowed to bring their own computers or other electronic devices, e.g. mobile phones.

Are candidates allowed to introduce new resources between formally supervised sessions?

No. Candidates are not allowed to augment notes and resources between sessions. When work for assessment is produced over several sessions, the following material **must** be collected and **stored securely at the end of each session (and not accessible to candidates)**:

- the work to be assessed;
- preparatory work.

Additional precautions need to be taken if the centre permits candidates to use computers to store work. This may involve collecting memory sticks for secure storage between sessions or restricting candidates' access to a specific area of the centre's IT network.

How should sources be acknowledged?

The work submitted for assessment **must** include references where appropriate. To facilitate this, each candidate should keep a detailed record of his/her own research, planning, resources etc. The record should include all the sources used, including books, websites and audio/visual resources.

Guidance is given in the JCQ document *Information for candidates – non examination assessments* – <http://www.jcq.org.uk/exams-office/information-for-candidates-documents>

4.4 Word and time limits

Word limits as detailed in specifications and subject-specific documentation are for guidance only.

Centres should refer to awarding bodies' specifications as to whether time limits are mandatory.

Where limits are for guidance only centres should discourage candidates from exceeding them.

4.5 Collaboration and group work

When is group work permitted?

Unless the specification says otherwise, candidates are free to collaborate when carrying out research and preparatory work.

Where the specification permits, some assignments may be undertaken as part of a group. The specification may place a restriction on the maximum size of the group. It must be possible to attribute assessable outcomes to individual candidates.

Where an assignment requires written work to be produced, each candidate **must** write up his/her own account of the assignment. It is acceptable for all members of the group to record the same data, but each candidate must use his/her own words to describe how the data was obtained and draw his/her own conclusions. Where an artefact or a performance is required, candidates may collaborate, but their responses must be their own and their individual contributions must be clearly identified. The contribution of each individual candidate must be clear from both the work itself and the record forms.

Should all members of a group get the same mark?

No. Group work is permitted but group assessment is not. Members of the group will have made different contributions and the work of each candidate must be individually assessed.

How is credit apportioned to individual candidates?

The centre is responsible for monitoring group work and ensuring that each candidate's contribution can be separately assessed.

4.6 Authentication procedures

How is candidates' work authenticated?

Candidates **must** sign a declaration to confirm that the work they submit for final assessment is their own unaided work.

Teachers **must** sign a declaration of authentication after the work has been completed confirming that:

- the work is solely that of the candidate concerned;
- the work was completed under the required conditions;
- signed candidate declarations are kept on file.

Teachers must be sufficiently familiar with the candidate's general standard to judge whether the piece of work submitted is within his/her capabilities.

Signed candidate declarations must be kept on file until the deadline for an enquiry about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. They may be subject to inspection by a JCQ Centre Inspector.

What if the teacher has doubts about the authenticity of the work?

If you are unable to confirm that the work presented by a candidate is his/her own:

- do not accept the candidate's work for assessment;
- record a mark of zero for the work.

If you are concerned that malpractice may have occurred you **must** inform your examinations officer. (See section 9, page 25).

4.7 Presentation of work

- 1 Allow candidates to word process their work if practicable.
The regulations detailed in section 8 of the JCQ document *Instructions for conducting examinations* **do not** apply to non-examination assessments.
- 2 Instruct candidates to insert the following details on each page as a header or footer:
 - 5 digit centre number;
 - candidate number;
 - component code.
- 3 Allow candidates to use the spell/grammar check when they are word processing.
- 4 Encourage candidates submitting handwritten work to use black ink and write legibly.
- 5 Submit word-processed or handwritten work on A4 paper unless the specification states otherwise.
- 6 Include copies of presentations, charts, artefacts, photographs, letters, videos, audio recordings, transcripts of interviews and witness statements from supervising teachers where appropriate.
- 7 Consider insuring valuable or fragile materials against loss or damage. Awarding bodies are not liable for the loss of work or damage that occurs during moderation or in transit.
- 8 Do not include items of real or sentimental value such as photographs or certificates.
- 9 Obtain informed consent from parents/carers/guardians if videos or photographs/images of candidates are being included as evidence of participation or contribution.
- 10 Remove bulky covers and folders before work is sent for moderation or external marking.
- 11 Ensure that each candidate's work is securely fastened and that the awarding body's cover sheet is fully completed and attached to the work.

4.8 Keeping materials secure

When is secure storage of candidates' work required?

Secure storage, throughout the task-taking stage, is only required for work produced under formal supervision.

Once any work is handed in by the candidate for formal assessment (or the formal supervised session commences for Art & Design) it **must** be stored securely.

What constitutes secure storage?

Secure storage is defined as a securely locked cabinet or cupboard.

Where candidates are producing artefacts (e.g. Art and Design) secure storage may be defined as a classroom, studio or workshop which is locked or supervised from the end of one session to the start of the next.

Are teachers allowed to take work home to mark?

Yes, provided that they take sensible precautions regarding its security.

When can marked work be removed from secure storage?

Work that is not required for moderation purposes and work returned after moderation **must** be stored securely until all possible post-results services have been exhausted. If post-results services have not been requested, work may be returned to candidates after the deadline for enquiries about results for the relevant series. If post-results services have been requested, work may be returned once the enquiry about results and any subsequent appeal has been completed.

5 Non-examination assessments: task marking – externally assessed components

5.1 Externally-assessed components

In 2015/16 the only externally assessed non-examination components are in some GCE AS specifications offered by WJEC.

6 Non-examination assessments: task marking – internally assessed components

6.1 Marking and annotation

Teachers are responsible for marking work in accordance with the marking criteria detailed in the relevant specification and associated subject-specific documents.

Teacher annotation should be used to provide evidence to indicate **how** and **why** marks have been awarded to facilitate the standardisation of marking within the centre, and to enable the moderator to check that marking is in line with the assessment criteria.

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| Annotate the work | <ul style="list-style-type: none">• Follow guidance in the relevant specification and associated subject-specific documents.• Provide evidence to support your marks. Identify the assessment criteria that have been met.• Be clear and unambiguous.• Use key phrases from the criteria. For example, awareness of values, uses a variety of techniques, selects appropriate data.• Insert annotations at the appropriate point in the work - in the margin or in the text – or write comments on the cover sheet to show clearly how credit has been awarded. |
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| Award marks | <ul style="list-style-type: none">• If some work was done in groups, award marks that reflect the contribution of each individual candidate.• If the candidate has received feedback and guidance over and above that allowed by the specification, take this into account. Apply the principle of best fit and use annotation to explain how marks have been applied in the context of the additional assistance given and document the details. |
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| Complete documentation | <ul style="list-style-type: none">• Record the feedback and guidance that you have given.• Enter marks on the appropriate forms provided by the relevant awarding body. |
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What is the correct procedure if a candidate submits little or no work?

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| Candidate submits no work whatsoever | When marks are submitted to the awarding body the candidate must be recorded as absent (<u>and not awarded a mark of zero</u>). |
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| Candidate submits very little work | If some work has been produced, it should be assessed against the assessment criteria. The appropriate mark should be awarded. If none of the work submitted is worthy of credit, a mark of zero should be given. |
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Is the centre allowed to tell candidates what marks they have been awarded?

The centre may disclose marks to candidates provided that it is made clear that the moderation process may result in changes to marks. Centres should **not** attempt to convert marks to grades in advance of the publication of results.

What is the correct procedure where a teacher teaches his/her own child?

The centre must declare the conflict of interest and submit the marked work for moderation, whether or not it is part of the moderation sample.

6.2 Internal standardisation

Teachers should indicate on candidates' work, or on the cover sheet, the date when the work was marked.

It is important that all teachers involved in the assessment of a component mark to common standards. Centres must ensure that the internal standardisation of marks across assessors and teaching groups takes place. The following sequence is an example of good practice.

Obtain reference materials at an early stage in the course

- In the first year of a new specification, participate in awarding body training.
- In subsequent years, obtain exemplar material provided by the awarding body and use your centre's own archive material.

Hold a preliminary trial marking session prior to marking

- Include all the teachers involved in assessment.
- Compare standards through cross-marking a small sample of work.
- Agree a common understanding of the assessment criteria.

Carry out further trial marking at appropriate points during the marking period

- Repeat the trial marking/cross-marking exercise.
- Ensure that any discrepancies in marking are resolved.

After most marking has been completed

- Hold a further meeting to make final adjustments or assign responsibility for comparing marks to the teacher responsible for internal standardisation.

Make final adjustments to marks prior to submission

- If there are inconsistencies ensure that the teacher(s) concerned make(s) adjustments to their marks.
- The teacher responsible for internal standardisation checks the new marks.

Retain work and evidence of standardisation

- Retain evidence that internal standardisation has been carried out.
- Keep candidates' work in secure storage until after the closing date for enquiries about results for the series concerned. (See section 4.8, page 13).

6.3 Consortium Arrangements

A consortium is a group of centres from which candidates are taught and assessed together. If your centre is part of a consortium, follow these steps.

1 Nominate a consortium co-ordinator who will liaise with the awarding body on behalf of all the centres.

2 Inform the relevant awarding body that your centre is part of a consortium using Form JCQ/CCA *Centre consortium arrangements for centre-assessed work* - <http://www.jcq.org.uk/exams-office/forms>

Complete a separate form for each specification that is being taught and assessed jointly.

Make a new application for each examination series.

3 Return the form to the relevant awarding body by the published deadline.

4 Follow the procedures for internal standardisation described in **section 6.2, page 16, as a consortium** i.e. include all the teachers involved in assessment from all centres in the consortium.

5 Submit marks as detailed in **section 6.4, page 18** of this document. Each centre in the consortium submits marks for its own candidates.

6 Submit a single sample of work for moderation as specified by the awarding body.

The awarding body will allocate the same moderator to all centres in the consortium.

If marks need to be adjusted, the adjustment will be applied across the consortium.

7 Retain all candidates' work from all the centres in the consortium until after the closing date for enquiries about results for the series concerned.

If the consortium requests an enquiry about results, the work must be available from all the centres, as the original sample will be required for review of moderation.

6.4 Submission of marks and work for moderation

- 1 Set internal deadlines that will allow your centre to meet the mark submission deadline published by the awarding body. This will enable the awarding body to meet the deadlines for completion of moderation and release of results. Awarding bodies may refuse to accept work submitted after the deadline.
- 2 Follow the awarding body's instructions regarding the submission of marks. This can normally be done electronically. **It is the responsibility of centres to carefully check the marks they are submitting to an awarding body in order to minimise errors. Marks for all candidates, not just the sample submitted, must be checked by the centre for both addition and transcription errors before submission.**
- 3 Submit supporting documentation required by the awarding body:
 - authentication of candidates' work;
 - confirmation that internal standardisation has been undertaken;
 - any subject-specific information.

Is it possible to obtain an extension to the deadline for submission of marks?

Where a centre has been affected by circumstances beyond its control, it may, in exceptional cases, be possible to grant a short extension. This is at the discretion of the awarding body.

The centre must contact the awarding body as soon as possible to request an extension.

The timely release of examination results will be put at risk if the deadlines for submission of marks and samples are not adhered to.

6.5 Storage and retention of work after submission of marks

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| Moderation sample | <ul style="list-style-type: none">• Keep a record of names and candidate numbers for candidates whose work was included in the sample. This information may be needed if an enquiry about results is made.• Where work has been subject to postal moderation, moderators normally return it direct to centres but work submitted electronically is not returned. |
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| Marked work | <ul style="list-style-type: none">• Retain marked work under secure conditions until after the deadline for enquiries about results. This applies to all work – whether or not it was part of the moderation sample.• Where work is being stored electronically, take steps to protect it from corruption and have a back-up procedure in place.• If retention is a problem because of the nature of the work, retain some form of evidence such as photos, audio or video recordings. |
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| Extracts and exemplar work | <ul style="list-style-type: none">• Exemplar work will be retained for archive and standardisation purposes.• For information on copyright please see paragraphs 6.11 to 6.18 of the JCQ publication <i>General Regulations for Approved Centres</i> http://www.jcq.org.uk/exams-office/general-regulations |
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6.6 External moderation – the process

The purpose of moderation is to ensure that the standard of marking is consistent across all centres.

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| Sample selection | <ul style="list-style-type: none">• The awarding body (or moderator acting on its behalf) specifies the sample which will include work from across the range of attainment at the centre. |
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It is the responsibility of centres to ensure that moderators receive the correct samples of work to review.

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| Sample submission | <ul style="list-style-type: none">• For most components, the centre submits a sample of work either to the moderator or directly to the awarding body, according to instructions.• For some components the moderator visits the centre to mark the sample of work. |
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| Sample assessment | <ul style="list-style-type: none">• The moderator assesses work in the sample using the published marking criteria. |
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| Mark comparison and adjustment | <ul style="list-style-type: none">• Moderator marks are compared with the centre marks for the sample of work.• The moderator may request some or all of the remaining work if he/she needs further evidence of the centre's marking.• If the differences between the moderator's marks and the centre's marks exceed the allowed tolerance, but the moderator broadly agrees with the centre's rank order, adjustments may be applied to the centre's marks.• If the moderator significantly disagrees with the centre's rank order (perhaps because internal standardisation has not been carried out effectively) the awarding body may ask the centre to re-consider its marks. Alternatively, the moderator's marks may be applied to all candidates in the centre and, in some circumstances, a charge may be made. |
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| Feedback to centres | <ul style="list-style-type: none">• The final moderated marks are issued to centres electronically when results are published.• Feedback forms are also issued to centres. |
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6.7 External moderation - feedback

What sort of feedback can we expect?

Feedback is intended to enable the centre to take remedial action, if necessary, before the next examination series. The feedback given is intended to be constructive, objective, supported by fact or judgement, and sufficiently detailed to explain any differences between the centre's assessments and the agreed standard for the component.

Feedback will cover the following aspects:

Centre set tasks

- Were they appropriate?

- Was there adequate coverage of the assessment objective(s)?

Centre assessments

- Were they accurate against the criteria and in relation to the agreed standard for the component?

Centre administration

- Was this satisfactory?

7 Access arrangements

The JCQ document *Access Arrangements and Reasonable Adjustments, 1 September 2015 to 31 August 2016* provides detailed information -

<http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>

Awarding bodies have developed their specifications to be compliant with equality legislation. Access arrangements will be granted provided that these do not undermine the integrity of the qualification.

In principle, if a candidate has an access arrangement as part of his/her normal way of working within the centre, a similar arrangement will normally be permitted for written examinations and non-examination assessments. **Centres must apply for access arrangements in advance of timetabled written examinations and non-examination assessments.**

How can centres prepare themselves to cater for candidates with access arrangements?

The SENCo **must** ensure that all relevant staff are aware of any access arrangements which need to be applied for non-examination assessments.

8 Special consideration

The JCQ document *A guide to the special consideration process* provides detailed information – <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>

8.1 Absence

If candidates are absent will they be eligible for special consideration?

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| Short-term occasional absence | <ul style="list-style-type: none">The candidate was unexpectedly absent for one or more formally supervised sessions. | <p>Not eligible for special consideration.</p> <p>The candidate should be given an opportunity to make up the missed time.</p> |
| Joined the course at a late stage (See section 11 for candidates who move centres) | <ul style="list-style-type: none">The candidate was absent for some formally supervised sessions because he/she joined the course at a late stage. | <p>Not eligible for special consideration.</p> <p>The candidate should be given an opportunity to make up the missed time, if feasible.</p> |
| Longer-term absence when work is being submitted in a series prior to certification (Not applicable to candidates at centres in England) | <ul style="list-style-type: none">The candidate was absent for acceptable reasons when his/her peers undertook the assessment.There will be another assessment opportunity prior to the series in which the candidate certifies. | <p>Not eligible for special consideration.</p> <p>The candidate should submit the assessment in a subsequent examination series.</p> |
| Longer-term absence when work is to be submitted in the certification series | <ul style="list-style-type: none">The candidate was absent for acceptable reasons when his/her peers undertook the assessment and was unable to complete the work at a later date.As this is the candidate's certification series there will be no further assessment opportunity to complete the work. | <p>May be eligible for special consideration provided the published criteria are met.</p> |

What are the criteria for a candidate who has been absent to be eligible for special consideration?

- The candidate has covered the whole course and has been fully prepared for the relevant assessment.
- The candidate was unable to complete the relevant assessment **during the certification series** at the same time as his/her peers for an acceptable reason, i.e. a temporary injury, illness or other indisposition (where the assessment was scheduled for a restricted period of time.)
- The centre has taken all reasonable steps to try to accommodate the candidate in completing the assessment, including the consideration of a short extension.
- The centre can clearly set out why the assessment could not be completed in the certification series by means of an agreed extension.
- The candidate meets the published criteria for enhanced grading.
- The centre supports the application for special consideration.

Are there any circumstances in which the awarding body will accept a reduced quantity of work?

Yes, provided that **all** the following criteria are met.

- The specification requires completion of more than one piece of work.
- All pieces of work are assessed against the same criteria.
- The candidate has completed at least one piece of work and each required assessment objective has been covered at least once.

8.2 Loss of work

What are the criteria for a candidate, whose work has been lost, to be eligible for special consideration?

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| Candidate responsible for loss | <ul style="list-style-type: none">• The loss is a consequence of negligence on the part of the candidate. | Not eligible for special consideration. |
| Centre responsible for loss | <ul style="list-style-type: none">• The loss is not a consequence of negligence on the part of the candidate.• The centre is able to verify that the work was completed or partially completed and had been monitored whilst it was in progress. | Eligible for special consideration. |

What is the procedure for requesting special consideration for a candidate whose work has been lost?

Obtain guidance

Refer to the JCQ document
A guide to the special consideration process –
<http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>

Report the loss

Submit **Form 15 – JCQ/LCW** to the relevant awarding body -
<http://www.jcq.org.uk/exams-office/forms>

AQA and OCR centres must not submit Form 15 – JCQ/LCW. Applications must be submitted on-line using e-AQA or OCR Interchange as appropriate.

If the work had been marked before it was lost or damaged

Submit the mark in the usual way.

Submit **Form 15 – JCQ/LCW** to the moderator and the awarding body by the deadline for submission of marks.

AQA and OCR centres must not submit Form 15 – JCQ/LCW. Applications must be submitted on-line using e-AQA or OCR Interchange as appropriate.

If the work had **not** been marked before it was lost or damaged

Submit an estimated mark on **Form 15 – JCQ/LCW**.
Base the estimate on the teacher's assessment of the work actually seen.
Do **not** attempt to estimate marks for work not seen.

AQA and OCR centres must not submit Form 15 – JCQ/LCW. Applications must be submitted on-line using e-AQA or OCR Interchange as appropriate.

If only part of the work is lost

Seek further guidance from the awarding body.

9 Malpractice

For detailed guidance on dealing with suspected malpractice you should refer to the JCQ document *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* - <http://www.jcq.org.uk/exams-office/malpractice>

Candidates **must not**:

- submit work which is not their own;
- make available their work to other candidates through any medium;
- allow other candidates to have access to their own independently sourced material;
- assist other candidates to produce work;
- use books, the internet or other sources without acknowledgement or attribution;
- submit work that has been word processed by a third party without acknowledgement;
- include inappropriate, offensive or obscene material.

Candidates are not prohibited from lending books or other resources to one another provided these are not used as part of their own independently sourced material.

What should a centre do if it suspects malpractice?

Irregularities identified by the centre **prior** to the candidate signing the authentication statement (where required)

- The centre should deal with the irregularity under its own internal procedures.
- There is no requirement to report the irregularity to the awarding body.
- Details of any work which is not the candidate's own must be recorded on the record form.

Irregularities identified by the centre **subsequent** to the candidate signing the authentication statement (where required)

- The head of centre must notify the relevant awarding body at the earliest opportunity using **Form JCQ/M1**.
- If malpractice is found the awarding body will apply a penalty.

Irregularities identified by an examiner or moderator **subsequent** to the candidate signing the authentication statement (where required)

- The awarding body will ask the head of centre to conduct a full investigation and report his/her findings.

What penalty is applied when malpractice has occurred?

If a breach of the regulations on the part of the candidate is discovered **after** a candidate has signed the authentication statement, the awarding body will apply **one** of the following penalties:

- the piece of work will be awarded zero marks;
- the candidate will be disqualified from that component for that examination series;
- the candidate will be disqualified from the whole subject for that examination series;
- the candidate will be disqualified from all subjects and barred from re-entering for a period of time.

10 Enquiries about results services

For detailed information on enquiries about results services you should refer to the JCQ document *Post Results Services, Information and guidance for centres*
<http://www.jcq.org.uk/exams-office/post-results-services>

The following post-results services may be requested.

| | |
|--------------------------------|--|
| Externally-assessed components | Review of marking (Service 2) |
| | Priority Review of marking (Priority Service 2) |
| Internally-assessed components | Review of moderation (Service 3) |
| | This service is not available if no adjustment was made to the centre's marks as a result of the original moderation. |
| | A review of moderation is not available for an individual candidate. |

What is the procedure for obtaining a review of moderation?

Initiate an enquiry about results

- Submit a request for Service 3 – Review of moderation.
- The awarding body will provide details of where to send the sample where applicable.

Despatch moderation sample

- The original moderation sample must be sent for review.
- Where requested, the sample must be despatched within three working days of receiving confirmation from the awarding body that the request has been accepted.

Receive outcome of review

- You will be notified of the outcome.
- Feedback will normally be provided.

Why is the original moderation sample required?

The process requires the second moderator to review the work of the first moderator. The second moderator considers the marks awarded and any annotations made by the first moderator to establish whether he/she applied the assessment criteria correctly.

The sample of work submitted for review must have been stored securely. If there is evidence that work has been returned to candidates the enquiry will be cancelled.

What will happen if the centre fails to despatch the sample within three working days?

The outcome of the enquiry may be delayed or the enquiry may be cancelled.

11 Other issues

What happens if, after submission, it is discovered that the wrong task was given to candidates?

The centre should submit an application for special consideration. Awarding bodies do all they can to protect candidates' interests but in some cases it may not be possible to accept work based on the wrong task. Centres should therefore, take great care to ensure that they give candidates the correct task for the year of submission. **See section 3, page 6 for further information.**

Can excluded pupils, private candidates and those who do not attend a centre for whatever reason do non-examination assessments?

You should refer to the relevant specification and/or subject-specific guidance in the first instance. Where the specification is available to those outside of mainstream education, the centre which makes the entry/entries must arrange for supervision, authentication and marking as required.

What happens if a candidate moves to a different centre during the course?

It may be possible to help candidates who move centres during the course. Possible solutions depend on the stage at which the move takes place. The relevant awarding body should be contacted at the earliest opportunity for advice about individual cases.

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

Introduction

For first teaching in September 2015, the assessment of practical skills is a compulsory requirement of the new A level qualifications in Biology, Chemistry and Physics. Each of these qualifications will have an endorsed component covering those skills.

The endorsement has a number of features which distinguish it from most general qualifications assessments, in particular:

- it will not contribute to the A level grade;
- no marks will be assigned – it will be assessed holistically and reported as Pass or Not Classified;
- it will be assessed on a 'competency' basis using agreed Common Practical Assessment Criteria (CPAC) - candidates must consistently and routinely meet all of the criteria to be awarded a Pass at the end of the course;
- there will be a monitoring visit to each centre which will focus on checking that teachers are implementing the requirements of the practical endorsement appropriately and applying the assessment criteria correctly.

There is no separate assessment of practical skills for AS Biology, Chemistry and Physics qualifications.

Registration and training

In Autumn 2015 (and each Autumn thereafter) JCQ will ask each centre to indicate which awarding body it intends to use¹ for its entries in A level Biology, Chemistry and Physics (in June 2017) and to provide the name of the lead teacher. JCQ will allocate centres to awarding bodies for the purpose of the monitoring visits. Centres will receive communications concerning the visits from awarding bodies, not from JCQ.

Lead teachers are required to undertake training provided by the awarding body on the implementation of the practical endorsement. Further details will be supplied by the awarding body.

¹ Any centre which makes entries for one of the A level sciences and has not previously submitted its intention to teach that subject will receive an automatic monitoring visit after the entries have been processed.

Lead teachers must then disseminate this information to all other teachers of that science within the centre so that each teacher can apply the standards appropriately.

Entries and centre declaration

A level entries for Biology, Chemistry and Physics automatically include the respective practical skills endorsement.

The head of centre is required to provide a declaration to the awarding body by the published deadline to confirm that all candidates at the centre have had the opportunity to undertake the prescribed practical activities.

Practical activities

The arrangements for the assessment of practical skills are common to all awarding bodies and include the following.

- The required practical activities (that will enable candidates to demonstrate the five practical competencies) are set out by each awarding body in the subject specification and must be carried out by each candidate.
- Centres assess candidates using Common Practical Assessment Criteria (CPAC) issued jointly by the awarding bodies. The CPAC are based on the requirements of Appendices 5b (Practical skills identified for direct assessment and developed through teaching and learning) and 5c (Use of apparatus and techniques) from the prescribed subject content, published by the Department for Education. They define the minimum standard required for the achievement of a Pass grade.
- Candidates who consistently and routinely demonstrate the required standard across all of the CPAC, incorporating all of the skills, apparatus and techniques (as defined in Appendices 5b and 5c of the DfE subject content), will receive a Pass at the end of the course.

Candidates may work in groups, but teachers should be confident of each individual's competence when awarding a Pass.

In each specification at least twelve activities are prescribed. These activities provide opportunities for demonstrating competence in all the required skills and in the use of all apparatus and techniques detailed for each subject. Some awarding bodies' specifications require candidates to carry out all of the specified activities. In all specifications candidates may also demonstrate the competencies in any additional practical activities undertaken during the course of study which cover the requirements of the CPAC.

Centre record-keeping

Each centre must keep a written record of the following:

- plans to carry out sufficient practical activities which meet the requirements of CPAC, incorporating skills and techniques detailed in Appendix 5 of the subject content published by the Department for Education, over the course of the A level;
- each practical activity undertaken and the date when it was completed;
- the criteria being assessed in that practical activity;
- candidate attendance;
- details of which candidates met the criteria and which did not;
- candidate work showing evidence required for the particular task with date(s), together with any associated materials provided for the practical activity e.g. written instructions given.

Candidate record keeping

Candidates must keep a record of their practical work, including their assessed practical activities and the dates. The format is not prescribed, as it is important that candidates record their practical experiences in their own ways. It could include:

- lab books (allowing all records to be kept in one place);
- candidates' folders;
- computer-based systems;
- pre-printed workbooks.

Monitoring

Quality assurance of the practical endorsement is supported by visiting monitors from the awarding bodies. As the practical activities for the endorsement take place throughout the two years of the A level course, visits could be in either the first or second year.

Each centre will be visited at least once, in at least one of the sciences, during the period January 2016 to May 2017 (excluding the period of the June 2016 exam series). The monitor who visits will be appointed by the awarding body with which the centre has indicated (through the JCQ request) that it intends to enter candidates. Large centres will receive a visit for every science.

The purpose of the visit is to ensure that the centre is implementing the requirements of the practical endorsement appropriately and applying the assessment criteria (CPAC) correctly. The monitoring process is not intended to moderate or adjust the results of individual candidates.

The centre visit

The monitor will contact the centre and liaise with the lead teacher for a visit with at least two weeks notice.

On the day of the centre visit the monitor will:

- observe a practical activity taking place;
- review the records kept by the centre and by a sample of candidates;
- talk with staff and candidates.

The visit is intended to determine the ability of the centre to assess candidates in the practical endorsement, not to decide on candidate achievement. It is therefore, unnecessary and it would be counter-productive, to rehearse the practical activity which the monitor is to observe.

The monitor will prepare a written record of the visit and a copy will be sent to the centre. The record will state whether or not the monitor agrees with the centre's implementation of the requirements of the endorsement and application of the assessment criteria (CPAC).

If the monitor does not agree with the centre's judgements, he/she will provide guidance as to the measures which the centre needs to put in place. Such an outcome will normally result in the other sciences receiving a visit from the respective awarding body/bodies as well as a repeat visit for the science which was monitored. If additional visits are necessary, there may be a supplementary charge.

It is possible that the monitor may agree with the centre's application of CPAC, yet still include guidance on improvements which could be made.

What if a centre disagrees with the monitor?

If a centre disagrees with the outcome of a monitoring visit, it may request a repeat visit by an alternative monitor. There may be a charge for this service.

Consortium arrangements

- Where a centre does not have laboratory facilities and undertakes the practical endorsement at an alternative site or venue, or in a foreshortened timescale, a specific visit will be made on a defined date when practical activities are taking place.
- Where a centre undertakes practical work alongside another centre which is being monitored in its own right, it will have its work included in that centre's sample.

Candidate absence

Where a candidate misses a prescribed practical activity through absence, the centre must organise an alternative session for him/her or provide other opportunities for him/her to demonstrate the required skills and techniques.

It is a regulatory requirement that each candidate must demonstrate the specified skills and techniques through carrying out a minimum of twelve activities. Candidates who are unable to do this because of absence will not qualify for special consideration and will receive a 'Not Classified' result for the practical skills endorsement. Separate arrangements apply for disabled candidates who are exempted from the practical skills endorsement.

Centres which switch to another awarding body

Where a centre informs JCQ that it is switching to a different awarding body (having previously submitted its entry intentions to JCQ), then:

- if no visit has yet taken place, the updated details will be used when arranging the visit;
- if a visit has already taken place in the science where the centre has switched, the decisions made as a consequence of that visit will stand.

Candidates who move to a new centre during the course

In order to award a Pass grade, the new centre must take all reasonable steps to ensure that it is satisfied that all of the five competencies and all of the skills and techniques have been successfully covered in at least twelve practical activities (at one or both centres).

Re-use (carry forward) of practical skills grades

A candidate who is re-taking an A level Biology, Chemistry or Physics qualification may re-use a previous Pass result for the practical skills endorsement in the science in question, even if it was awarded by a different awarding body.

Sanctions

- If a monitoring visit shows that a centre is not implementing the requirements of the practical endorsement appropriately, the awarding body will provide guidance on the improvements which need to be put in place.
- If a monitoring visit shows that a centre is not assessing to the correct national standard, the lead teacher may be required to undertake further training.
- Failure by the centre to take action in response to the above or to provide a declaration to confirm that all candidates have had the opportunity to undertake the prescribed practical activities, may cause results for the endorsement to be withheld from candidates at the centre.

Malpractice

- If it comes to light that a teacher has awarded a Pass grade to a candidate who has not satisfactorily completed the necessary practical activities, the head of centre will be asked to carry out an investigation of the circumstances and report to the awarding body. Results from some or all candidates at the centre may be withheld.
- Failure on the part of the head of centre to give all candidates the opportunity to undertake the practical activities is a breach of specification requirements. The awarding body will inform other awarding bodies and the regulator, and the centre's arrangements for the next cohort will be closely monitored.
- Because of the nature of the work required, opportunities for candidate malpractice are lessened, but in circumstances where it occurs the standard published malpractice procedures apply.

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

Introduction

For first teaching in September 2015, GCSE English Language will have an endorsed component covering Spoken Language. This endorsement has a number of features which distinguish it from most general qualifications components, in particular:

- it will be reported as a separate grade (Pass, Merit, Distinction or Not Classified) and will not contribute to the result of the GCSE English Language qualification;
- no marks will be assigned – it will be assessed holistically as a grade;
- it will be assessed on a ‘competency’ basis using agreed common criteria – to be awarded a grade candidates must achieve all of the criteria for that grade.

The endorsement will be assessed by centres. There will be monitoring arrangements through which awarding bodies will check that:

- centres have used appropriate tasks;
- centres have applied the assessment criteria correctly and consistently – no adjustments will be made to centres’ assessments.

For monitoring purposes, each centre is required to provide audio-visual recordings of the presentations of a sample of candidates.

Entries and centre declaration

Entries for GCSE English Language automatically include the Spoken Language endorsement.

The head of centre is required to provide a written declaration to the awarding body by the published deadline to confirm that reasonable steps have been taken to ensure that all candidates whom the centre has entered for GCSE English Language have undertaken the Spoken Language endorsement².

² A certificate will be issued for GCSE English Language where the candidate has been awarded a grade (9-1). All possible results for the endorsement (including Not Classified) will be reported on that certificate. Before the first certificates are issued in 2017, Ofqual will review its approach to the reporting of grades for candidates with exemptions.

Task setting and task taking

Candidates must undertake a prepared spoken presentation on a specific topic. As a guide, the duration should be no more than ten minutes. The requirements are as follows:

- Presentations may take a wide variety of forms, including talks, debates, speeches and dialogues.
- The appropriate format should be determined by the teacher, in discussion with the candidate. The format chosen should allow the candidate to demonstrate his/her Spoken Language abilities to the fullest extent.
- Candidates must identify the subject for their presentations in advance and agree it with their teacher.
- Presentations must be planned and organised. Candidates should be advised that lack of preparation is likely to prevent access to the criteria for the higher grades.
- Candidates may use pre-prepared notes to assist them during their presentations but this is not a requirement.
- There are no word limits, page restrictions or other limitations regarding notes.
- Teachers should advise candidates that reading entirely from pre-prepared notes is unlikely to enable them to access the criteria for the higher grades which require engagement with the audience.

As part of or following the presentation, candidates must listen to and respond appropriately to questions and feedback. Task taking therefore also includes the following requirements:

- Candidates must give their presentations to an audience, which must always include the teacher.
- The size and composition of the audience should be determined by the teacher, in discussion with the candidate.
- Where the audience is the teacher only, the presentation and dialogue should be designed in such a way that it could have a potentially wider audience than just one person (e.g. it replicates a television interview).

The format of the task-taking is flexible. There is no requirement to present to other candidates. Further advice is provided in each awarding body's specification and/or guidance.

Assessment and internal standardisation

Candidates should be assessed either live or from recordings, using the common assessment criteria which have been developed collaboratively by the awarding bodies and teachers.

Teachers award grades (Pass, Merit or Distinction) - there are no marks. Candidates who do not reach the Pass standard must be recorded as Not Classified. In order to achieve a particular grade, a candidate must meet all of the criteria for that grade. The 'best fit' and compensatory approach normally used in GCSE assessments **does not** apply. Further details are available in the guidance and support provided by the awarding bodies.

Centres must make arrangements for internal standardisation of assessments. This should take place as far as possible **before** assessment begins in earnest. Internal standardisation should include a preliminary trial assessment session (including all teachers involved in assessment) using exemplar material provided by the awarding body, in order to ensure that there is a common understanding of the assessment criteria. It could also include observation by teachers before starting their own assessments. Teachers could observe live sessions where the lead teacher assesses candidates and equally the lead teacher could observe some of the live sessions where each teacher assesses candidates.

Monitoring

Common monitoring arrangements are in place, as agreed by the awarding bodies, to ensure that centres are using appropriate tasks and are applying the assessment criteria correctly.

The centre must provide recordings of the presentations of a sample of candidates. The recording of each candidate's presentation, including questions and feedback from the audience, must be complete and unedited. Any proceedings at the beginning or end which are not part of the assessment should not be recorded or should be edited out. Using their knowledge of candidates' likely performance, centres should select the sample following the guidance shown in Table 1 and its footnotes. Centres are recommended to aim to record slightly more than the minimum number at each grade to allow for candidates whose performance is awarded a higher or lower grade than the centre had anticipated. However, a centre whose sample at a particular grade is ultimately slightly smaller than the minimum specified in the table **is not** required to take further action (i.e. record further candidates) to rectify the sample. Awarding bodies will provide details regarding the storage and submission of recordings.

Table 1 – Sample sizes

| No. of candidates at centre | No. of candidates whose presentations must be recorded | Minimum no. of candidates at each grade (D, M, P)⁺ |
|------------------------------------|---|--|
| 30 or fewer | All candidates | 10 ⁺⁺ |
| Over 30 | 30 | 10 ⁺⁺⁺ |

⁺ All candidates at a grade if the centre has fewer than the stated minimum. Candidates assessed as Not Classified should not be included.

⁺⁺ For example, if a centre has 15 D candidates, 11 M candidates and 3 P candidates, all of these candidates will be in the sample.

⁺⁺⁺ For example:

(a) if a centre has 21 D candidates, 14 M candidates and 3 P candidates, the sample will consist of 10 of the D candidates, 10 of the M candidates and all of the P candidates, with 7 additional candidates (from D and/or M) to make the overall sample up to 30.

(b) if a centre has no D candidates, 7 M candidates and 60 P candidates, the sample will consist of all of the M candidates and 23 of the P candidates.

Where a centre is unable to record the required number of candidates owing to concerns (expressed by the candidates themselves or by their parents/carers) about safeguarding, confidentiality or faith, it must contact the awarding body at the earliest opportunity.

Assessments must be submitted by the awarding body's published deadline for internal assessment. Awarding bodies will supply details of the administrative arrangements. The monitor appointed by the awarding body will view some or all of a centre's recordings and there will be a statistical analysis of the centre's assessments.

If there are concerns as a result of monitoring, the centre will be provided with additional support (which may include a visit by a monitor) in the academic year 2017-18. There may be enhanced monitoring arrangements which may include an earlier deadline for submission of assessments or a requirement to record the presentations of all candidates.

Consortium arrangements

The normal consortium arrangements apply - **see section 6.3 page 17**. Details in section 6.3 regarding the submission of sample work are not relevant, as centres will submit all available recordings.

Candidate absence

Where a candidate misses the scheduled date/time for his/her presentation, the centre must organise an alternative session.

A candidate who is unable to undertake his/her presentation because of persistent absence (whether through ill health or any other reason) will not qualify for special consideration and will receive a 'Not Classified' result for the Spoken Language endorsement. However, standard procedures for sitting an assessment at an alternative venue apply, if appropriate. The centre should contact the relevant awarding body for advice. Separate arrangements apply for disabled candidates who are exempted from the Spoken Language endorsement.

Candidates who move to a new centre during the course

If a candidate moves to a new centre **after** his/her Spoken Language assessment has been carried out, the result of that assessment remains valid. The new centre should contact its awarding body for details regarding the administrative arrangements.

Re-use (carry forward) of Spoken Language grades

A candidate who is re-taking GCSE English Language may re-use a previous certificated grade for the Spoken Language endorsement, even if it was awarded by another awarding body.

Malpractice

- If it comes to light that a teacher has awarded a grade to a candidate who has not in fact carried out a presentation in the required manner, the head of centre will be asked to carry out an investigation of the circumstances and report to the awarding body. Results from some or all candidates at the centre may be withheld.
- Failure on the part of the head of centre to give all candidates the opportunity to undertake a Spoken Language presentation is a breach of specification requirements. The awarding body will inform other awarding bodies and the regulator, and the centre's arrangements for the next cohort will be closely monitored. A grade of 'Not Classified' will be recorded for the endorsement in the case of any GCSE English Language candidates who do not attempt it.
- Because of the nature of the work required, opportunities for candidate malpractice are lessened, but in circumstances where it occurs the standard published malpractice procedures apply.