



## **Non-Examination Assessment Policy**

Last Review: May 2023

Committee: SLT

Date Ratified: 24/05/2023

### **1. Introduction**

- 1.1. This policy is compliant with the Joint Council for Qualifications (JCQ) publication Instructions for Conduction Non-Examination Assessments. It is the responsibility of the Governors to review the policy at regular intervals and monitor its implementation.
- 1.2 The regulator's definition of NEA is any type of assessment that is not 'externally set and taken by candidates at the same time under controlled conditions'. 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 classed as NEA.
- 1.3 This Policy lists the responsibilities of the relevant employees in terms of organising, administering and overseeing Non-examination assessments.

### **2. Roles and Responsibilities**

#### **2.1. Senior Leadership**

- 2.1.1. Senior Leadership are accountable for the safe and secure conduct of non-examination assessments for GCSE and GCE. They must ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- 2.1.2. In the summer term, they begin coordinating with Leaders of Learning to schedule non-examination assessments ensuring that they are conducted at appropriate points through the examination cycle.
- 2.1.3. Senior Leadership must map overall resource management requirements for the year. As part of this, resolve:
  - 2.1.3.1. clashes/problems over the timing or operation of non-examination assessments
  - 2.1.3.2. issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
  - 2.1.3.3. ensure that all employees involved have a calendar of events.
  - 2.1.3.4. create, publish and update an exams policy that includes internal appeals procedures for internally marked assessments (see Examinations Internal Appeals Procedure Policy).

#### **2.2. Leaders of Learning**

- 2.2.1. Decide on the awarding body and specification for a particular course.
- 2.2.2. Supply to the Exams Officer details of all unit codes for non-examination assessments.
- 2.2.3. Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- 2.2.4. Ensure that individual teachers understand their responsibilities with regard to non-examination assessments.
- 2.2.5. Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.

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- 2.2.6. Ensure that guidelines for non-examination assessments are followed. This includes ensuring that teachers remove or cover any display material in the teaching environment which might provide assistance.
- 2.2.7. Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.
- 2.2.8. Where centres are responsible for task setting for non-examination assessments, they must ensure that the assessment criteria, as detailed in the specification, can be met and tasks are accessible to candidates. They must refer to the awarding body's specification.
- 2.2.9. Create systems within their area for logging work. The school must show work was kept securely by the school, and logged in and out on each occasion
- 2.2.10. Consult the relevant awarding body's specification to obtain the date for the issuing of tasks, to allow time for planning, resourcing and teaching.

### **2.3. Teaching Staff**

- 2.3.1. Understand and comply with the general guidelines contained in the JCQ publication Instructions for conducting non-examination assessments.
- 2.3.2. Ensure pupils are issued with the relevant JCQ documents: Information for candidates : Non-Examination Assessments.
- 2.3.3. Understand and comply with the awarding body's specification for conducting non-examination assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- 2.3.4. Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- 2.3.5. Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- 2.3.6. Ensure that candidates understand that information from published sources must be referenced, receive guidance on setting out references and are aware that they must not plagiarise other material.
- 2.3.7. Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- 2.3.8. Mark internally assessed components using the mark schemes provided by the awarding body. This must be dated to reflect the time it was marked.
- 2.3.9. Annotate marking to clearly show where marks are awarded.
- 2.3.10. Build in time to allow candidates the opportunity to request a review of the centre's marking
- 2.3.11. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.
- 2.3.12. Retain candidates' work securely between assessment sessions (if more than one).
- 2.3.13. 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.
- 2.3.14. Ask the appropriate special educational needs coordinator (SENCO) for any assistance required for the administration and management of access arrangements.
- 2.3.15. Ensure that if an assignment is word processed, the candidate's name appears on each page as a header or footer.
- 2.3.16. Keep a written log of any fire alarm/evacuation.

### **2.4. The Examination Officer**

- 2.4.1. Enter students for individual units, whether assessed by non-examination assessments, external exam or on-screen test, before the deadline for final entries.
- 2.4.2. Enter students' 'cash-in' codes for the terminal exam series.
- 2.4.3. Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- 2.4.4. Download and distribute marksheets for teaching staff to use, and collect and send marksheets to awarding bodies before deadlines.
- 2.4.5. On the few occasions where non-examination assessments cannot be conducted in the classroom, arrange suitable accommodation where it can be carried out, at the direction of Senior Leadership.

### **2.5. SENCO**

- 2.5.1. Ensure access arrangements have been applied for.
- 2.5.2. Ensure that all relevant employees are aware of any access arrangements which need to be applied for non-examination assessments and controlled assessments.

2.5.3. Work with teaching staff to ensure requirements for support staff are met.

### 3. Internal appeals against assessed work

3.1. Please refer to the Examinations Internal Appeals Procedure Policy and the Public Examinations Policy

### 4. The Risk Management Process

- 4.1. The following section examines potential risks and issues relating to the implementation of controlled assessment for GCSEs and how these might be managed and mitigated through forward planning and remedial actions.
- 4.2. This document should provide a useful starting point for the exams officer when discussing with other colleagues risks and issues that might apply to their individual centres or consortium.
- 4.3. The QCDA factsheet Planning and Managing Controlled Assessment for GCSEs and Diploma Principal Learning and the editable document Outlining Staff Responsibilities could be used to support your centre or consortium in allocating risks and issues to the appropriate roles.

| Issue/Risk  | Centre actions to manage issue/mitigate risk   | Action by           |
|---|--|---------------------|
| Centre staff malpractice  | <p><i>Records confirm that relevant centre staff are familiar with and follow:</i></p> <ul style="list-style-type: none"> <li>the current JCQ publication <i>Instructions for conducting non-examination assessments</i></li> <li>the JCQ document <i>Notice to Centres - Sharing NEA material and candidates' work</i> - <a href="http://www.jcq.org.uk/exams-office/non-examination-assessments">www.jcq.org.uk/exams-office/non-examination-assessments</a></li> </ul>  | AHT-Exams           |
| Candidate malpractice   | <p><i>Records confirm that candidates are informed and understand they must not:</i></p> <ul style="list-style-type: none"> <li>submit work which is not their own</li> <li>make available their work to other candidates through any medium</li> <li>allow other candidates to have access to their own independently sourced material</li> <li>assist other candidates to produce work</li> <li>use books, the internet or other sources without acknowledgement or attribution</li> <li>submit work that has been word processed by a third party without acknowledgement</li> <li>include inappropriate, offensive or obscene material</li> </ul> <p><i>Records confirm that candidates have been made aware of the JCQ documents <i>Information for candidates - non-examination assessments</i> and <i>Information for candidates - Social Media</i> - <a href="http://www.jcq.org.uk/exams-office/information-for-candidates-documents">www.jcq.org.uk/exams-office/information-for-candidates-documents</a> and understand they must not post their work on social media</i></p> | AHT-Exams           |
| <b>Task setting</b>   |  |                     |
| Awarding body set task: IT failure/corruption of task details where set task details accessed from the awarding body online | <p><i>Awarding body key date for accessing/downloading set task noted prior to start of course</i></p> <p><i>IT systems checked prior to key date</i></p> <p><i>Alternative IT system used to gain access</i></p> <p><i>Awarding body contacted to request direct email of task details</i></p>  | AHT-Exams           |
| Centre set task: Subject teacher fails to meet the assessment criteria as detailed in the specification                     | <p><i>Ensures that subject teachers access awarding body training information, practice materials etc.</i></p> <p><i>Records confirmation that subject teachers understand the task setting arrangements as defined in the awarding body's specification</i></p> <p><i>Samples assessment criteria in the centre set task</i></p>  | Leaders of Learning |

| Issue/Risk   | Centre actions to manage issue/mitigate risk   | Action by           |
|--|--|---------------------|
| Candidates do not understand the marking criteria and what they need to do to gain credit  | <i>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<br/>Records confirm all candidates understand the marking criteria<br/>Candidates confirm/record they understand the marking criteria</i>   | Leaders of Learning |
| Subject teacher long term absence during the task setting stage  | <i>See centre's Exam Contingency Plan (Teaching staff extended absence at key points in the exam cycle)</i>  |                     |
| <b>Issuing of tasks</b>  |  |                     |
| Awarding body set task not issued to candidates on time  | <i>Awarding body key date for accessing set task as detailed in the specification noted prior to start of course<br/>Course information issued to candidates contains details when set task will be issued and needs to be completed by<br/>Set task accessed well in advance to allow time for planning, resourcing and teaching</i>  | Leaders of Learning |
| The wrong task is given to candidates  | <i>Ensures course planning and information taken from the awarding body's specification confirms the correct task will be issued to candidates<br/>Awarding body guidance sought where this issue remains unresolved</i>   | AHT Exams           |
| Subject teacher long term absence during the issuing of tasks stage  | <i>See centre's Exam Contingency Plan (Teaching staff extended absence at key points in the exam cycle)</i>  |                     |
| A candidate (or parent/carer) expresses concern about safeguarding, confidentiality or faith in undertaking a task such as a presentation that may be recorded | <i>Ensures the candidate's presentation does not form part of the sample which will be recorded<br/>Contacts the awarding body at the earliest opportunity where unable to record the required number of candidates for the monitoring sample</i>  | AHT Exams           |
| <b>Task taking</b>   |  |                     |
| <b>Supervision</b>   |  |                     |
| Planned assessments clash with other centre or candidate activities  | <i>Assessment plan identified for the start of the course<br/>Assessment dates/periods included in centre wide calendar</i>  | AHT Exams           |
| Rooms or facilities inadequate for candidates to take tasks under appropriate supervision  | <i>Timetabling organised to allocate appropriate rooms and IT facilities for the start of the course<br/>Staggered sessions arranged where IT facilities insufficient for number of candidates<br/>Whole cohort to undertake written task in large exam venue at the same time (exam conditions do not apply)</i>  | Exams Officer       |
| Insufficient supervision of candidates to enable work to be authenticated  | <i>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<br/>Confirm subject teachers understand their role and responsibilities as detailed in the centre's non-examination assessment policy</i> | AHT Exams           |
| A candidate is suspected of malpractice prior to submitting their work for assessment  | <i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed<br/>An internal investigation and where appropriate internal disciplinary procedures are followed</i>  | AHT Exams           |
| Access arrangements were not put in place for an assessment where a candidate is approved for arrangements   | <i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 2), to determine the process to be followed to apply for special consideration for the candidate</i>   | SENCO               |
| <b>Advice and feedback</b>   |  |                     |
| Candidate claims appropriate advice and feedback not given by  | <i>Ensures a centre-wide process is in place for subject teachers to record all information provided to candidates before work begins as part of the</i>   | AHT- Exams          |

| Issue/Risk   | Centre actions to manage issue/mitigate risk  | Action by           |
|--|---|---------------------|
| subject teacher prior to starting on their work  | <i>centre's quality assurance procedures</i><br><i>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</i><br><i>Full records kept detailing all information and advice given to candidates prior to starting on their work as appropriate to the subject and component</i><br><i>Candidate confirms/records advice and feedback given prior to starting on their work</i>  |                     |
| Candidate claims no advice and feedback given by subject teacher during the task-taking stage  | <i>Ensures a centre-wide process is in place for subject teachers to record all advice and feedback provided to candidates during the task-taking stage as part of the centre's quality assurance procedures</i><br><i>Regular monitoring of subject teacher completed records and sign-off to confirm monitoring activity</i><br><i>Full records kept detailing all advice and feedback given to candidates during the task-taking stage as appropriate to the subject and component</i><br><i>Candidate confirms/records advice and feedback given during the task-taking stage</i> | AHT-Exams           |
| A third party claims that assistance was given to candidates by the subject teacher over and above that allowed in the regulations and specification | <i>An investigation is conducted; candidates and subject teacher are interviewed and statements recorded where relevant</i><br><i>Records as detailed above are provided to confirm all assistance given</i><br><i>Where appropriate, a suspected malpractice report is submitted to the awarding body</i>  | AHT-Exams           |
| Candidate does not reference information from published source   | <i>Candidate is advised at a general level to reference information before work is submitted for formal assessment</i><br><i>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</i><br><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>  | Leaders of Learning |
| Candidate does not set out references as required  | <i>Candidate is advised at a general level to review and re-draft the set out of references before work is submitted for formal assessment</i><br><i>Candidate is again referred to the JCQ document Information for candidates: non-examination assessments</i><br><i>Candidate's detailed record of his/her own research, planning, resources etc. is regularly checked to ensure continued completion</i>  | Leaders of Learning |
| Candidate joins the course late after formally supervised task taking has started  | <i>A separate supervised session(s) is arranged for the candidate to catch up</i>   | Leaders of Learning |
| Candidate moves to another centre during the course  | <i>Awarding body guidance is sought to determine what can be done depending on the stage at which the move takes place</i>  | Exams Officer       |
| An excluded pupil wants to complete a non-examination assessment(s)  | <i>The awarding body specification is checked to determine if the specification is available to a candidate outside mainstream education</i><br><i>If so, arrangements for supervision, authentication and marking are made separately for the candidate</i>  | Exams Officer       |
| <b>Resources</b>   |   |                     |
| A candidate augments notes and resources between formally supervised sessions  | <i>Preparatory notes and the work to be assessed are collected in and kept secure between formally supervised sessions</i><br><i>Where memory sticks are used by candidates, these are collected in and kept secure between formally supervised sessions</i><br><i>Where work is stored on the centre's network, access for candidates is restricted between formally supervised sessions</i>   | Leaders of Learning |

| Issue/Risk   | Centre actions to manage issue/mitigate risk  | Action by           |
|--|---|---------------------|
| A candidate fails to acknowledge sources on work that is submitted for assessment  | <i>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</i><br><i>Awarding body guidance is sought on whether the work of the candidate should be marked where candidate's detailed records acknowledges sources appropriately</i><br><i>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</i>   | Leaders of Learning |
| <b>Word and time limits</b>  |   |                     |
| A candidate is penalised by the awarding body for exceeding word or time limits  | <i>Records confirm the awarding body specification has been checked to determine if word or time limits are mandatory</i><br><i>Where limits are for guidance only, candidates are discouraged from exceeding them</i><br><i>Candidates confirm/record any information provided to them on word or time limits is known and understood</i>  | Leaders of Learning |
| <b>Collaboration and group work</b>  |   |                     |
| Candidates have worked in groups where the awarding body specification states this is not permitted  | <i>Records confirm the awarding body specification has been checked to determine if group work is permitted</i><br><i>Awarding body guidance sought where this issue remains unresolved</i>   | AHT-Exams           |
| <b>Authentication procedures</b>   |   |                     |
| A teacher has doubts about the authenticity of the work submitted by a candidate for internal assessment<br><br>Candidate plagiarises other material | <i>Records confirm subject staff have been made aware of the JCQ document Notice to Centres - Sharing NEA material and candidates' work</i><br><i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments</i><br><i>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</i><br><i>The candidate's work is not accepted for assessment</i><br><i>A mark of zero is recorded and submitted to the awarding body</i> | Leaders of Learning |
| Candidate does not sign their authentication statement/declaration   | <i>Records confirm that candidates have been issued with the current JCQ document Information for candidates: non-examination assessments</i><br><i>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</i><br><i>Declaration is checked for signature before accepting the work of a candidate for formal assessment</i>   | Exams Officer       |
| Subject teacher not available to sign authentication forms   | <i>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</i>   | Leaders of Learning |
| <b>Presentation of work</b>  |   |                     |
| Candidate does not fully complete the awarding body's cover sheet that is attached to their worked submitted for formal assessment                   | <i>Cover sheet is checked to ensure it is fully completed before accepting the work of a candidate for formal assessment</i>  | Leaders of Learning |
| <b>Keeping materials secure</b>  |   |                     |
| Candidates work between formal supervised sessions is not securely stored  | <i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments</i><br><i>Regular monitoring/internal audit ensures subject teacher use of appropriate secure storage</i>   | AHT-Exams           |
| Adequate secure storage not  | <i>Records confirm adequate/sufficient secure storage is available to</i>   | Exams               |



| Issue/Risk  | Centre actions to manage issue/mitigate risk   | Action by           |
|---|--|---------------------|
| available to subject teacher  | <i>subject teacher prior to the start of the course</i><br><i>Alternative secure storage sourced where required</i>  | Officer             |
| Candidates work produced electronically is not securely stored  | <i>Records confirm subject teachers are aware of and follow current JCQ publication Instructions for conducting non-examination assessments</i><br><i>Internal processes and regular monitoring/internal audit by IT Manager ensures:</i> <ul style="list-style-type: none"> <li>• <i>access to this material is restricted</i></li> <li>• <i>appropriate security safeguards are in place</i></li> <li>• <i>an effective back-up strategy is employed so that an up to date archive of candidates' evidence is maintained</i></li> <li>• <i>any sensitive digital media is encrypted (according to awarding body guidance to ensure that the method of encryption is suitable) to ensure the security of the data stored within it</i></li> </ul> | AHT-Exams           |
| Task marking – externally assessed components   |  |                     |
| A candidate is absent on the day of the examiner visit for an acceptable reason   | <i>Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate</i><br><i>If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate</i>   | Exams Officer       |
| A candidate is absent on the day of the examiner visit for an unacceptable reason   | <i>The candidate is marked absent on the attendance register</i>   | Exams Officer       |
| Task marking – internally assessed components   |  |                     |
| A candidate submits little or no work   | <i>Where a candidate submits no work, the candidate is recorded as absent when marks are submitted to the awarding body</i><br><i>Where a candidate submits little work, the work produced is assessed against the assessment criteria and a mark allocated appropriately; where the work does not meet any of the assessment criteria a mark of zero is submitted to the awarding body</i>  | Leaders of Learning |
| A candidate is unable to finish their work for unforeseen reason  | <i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for shortfall in work</i>  | Exams Officer       |
| The work of a candidate is lost or damaged  | <i>Relevant staff are signposted to the JCQ publication Instructions for conducting non-examination assessments (section 8), to determine eligibility and the process to be followed for lost or damaged work</i>  | Exams Officer       |
| Candidate malpractice is discovered   | <i>Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (section 9 Malpractice) are followed</i><br><i>Investigation and reporting procedures in the current JCQ publication Suspected Malpractice: Policies and Procedures are followed</i><br><i>Appropriate internal disciplinary procedures are also followed</i>   | AHT-Exams           |
| A teacher assesses the work of a candidate with whom they have a close personal relationship e.g. members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) | <i>A possible conflict of interest is declared by informing the awarding body before the published deadline for entries for each examination series</i><br><i>Marked work of said candidate is submitted for moderation whether part of the sample requested or not</i>  | AHT-Exams           |
| An extension to the deadline for submission of marks is required for a legitimate reason  | <i>Awarding body is contacted to determine if an extension can be granted</i><br><i>Relevant staff are signposted to the JCQ publication A guide to the special consideration process (section 5), to determine eligibility and the process to be followed for non-examination assessment extension</i>  | Exams Officer       |
| After submission of marks, it is discovered that the wrong task was   | <i>Awarding body is contacted for guidance</i><br><i>Relevant staff are signposted to the JCQ publication A guide to the</i>   | Exams Officer       |

| Issue/Risk   | Centre actions to manage issue/mitigate risk   | Action by           |
|--|--|---------------------|
| given to candidates  | <i>special consideration process (section 2), to determine eligibility and the process to be followed to apply for special consideration for candidates</i>  |                     |
| A candidate wishes to appeal/request a review of the marks awarded for their work by their teacher | <p><i>Candidates are informed of the marks they have been awarded for their work prior to the marks being submitted to the awarding body</i></p> <p><i>Records confirm candidates have been informed of their marks</i></p> <p><i>Candidates are informed that these marks are subject to change through the awarding body's moderation process</i></p> <p><i>Candidates are informed of their marks to the timescale identified in the centre's internal appeals procedure and prior to the internal deadline set by the exams officer for the submission of marks</i></p> <p><i>Through the candidate exam handbook, candidates are made aware of the centre's internal appeals procedures and timescale for submitting an appeal/request for a review of the centre's marking prior to the submission of marks to the awarding body</i></p> | Leaders of Learning |
| Deadline for submitting work for formal assessment not met by candidate                            | <p><i>Records confirm deadlines given and understood by candidates at the start of the course</i></p> <p><i>Candidates confirm/record deadlines known and understood</i></p> <p><i>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</i></p> <p><i>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</i></p>  | Leaders of Learning |
| Deadline for submitting marks and samples of candidates work ignored by subject teacher            | <p><i>Internal/external deadlines are published at the start of each academic year</i></p> <p><i>Reminders are issued through senior leaders/subject heads as deadlines approach</i></p> <p><i>Records confirm deadlines known and understood by subject teachers</i></p> <p><i>Where appropriate, internal disciplinary procedures are followed</i></p>   | AHT-Exams           |
| Subject teacher long term absence during the marking period  | <i>See Exam Contingency Plan (Teaching staff extended absence at key points in the exam cycle)</i>   |                     |