



Non-examination assessment policy

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Statutory Policy:		Yes	
Date	Version	Reason for change	Source
02.12.20 25	V1.4	New JCQ requirement	D Lowbridge-Ellis MBE & M Edis

To be read alongside all relevant Matrix Academy Trust policies and procedures

1. Outlining Staff Responsibilities - Non-Examination Assessment (NEA)

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 all Non-examination assessments.

2. Senior Leadership

2.1 Heads of Centre are responsible for returning a declaration (managed as part of. the National Centre Number Register annual update) to confirm awareness of, and that relevant centre staff are adhering to, the latest versions of Instructions for conducting non-examination assessments (GCE & GCSE/VTQs) and Instructions for conducting coursework, and confirms:

- all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the (GCSE English Language) Spoken Language endorsement
- (where relevant to the centre) all reasonable steps have been or will be taken to ensure that all candidates at the centre have had, or will have, the opportunity to undertake the (A Level Sciences) prescribed practical activities
- Ensures the centre's policy is robust and fit for purpose and covers all types of non-examination assessment
- Ensures the centre's internal appeals procedure clearly details the process to be followed by candidates (or their parents/carers) appealing against internal assessment decisions (centre assessed marks) and requesting a review of the centre's marking

2.2 Senior Leadership are accountable for the safe and secure conduct of non-examination assessments for GCSE, GCE and VTQs/AAQs. They must ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions and the JCQ documents Instructions for conducting non-examination assessments (GCSE and GCE/VTQs/AAQs)

2.3 In the summer term, they begin coordinating with Directors of Learning to schedule non-examination assessments ensuring that they are conducted at appropriate points through the examination cycle.

2.4 Senior Leadership must map overall resource management requirements for the year. As part of this, resolve:

- clashes/problems over the timing or operation of non-examination assessments
- issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)

2.5 Ensure that all employees involved have a calendar of events.

2.6 Create, publish and update an exams policy that includes internal appeals procedures for internally marked assessments (**Appendix A**).

3. Directors of Learning/Quality Nominee/Lead Internal Verifier

3.1 Decide on the awarding body and specification for a particular GCSE/GCE/VTQ/AAQ.

3.2 Supply to the Exams Officer details of all unit codes for non-examination assessments.

3.4 Standardise internally the marking of all teachers involved in assessing an internally assessed component.

3.5 Ensure that individual teachers understand their responsibilities with regard to non-examination assessments.

3.6 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.

3.7 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.

3.8 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.

3.9 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.

3.10 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

3.11 Consult the relevant awarding body's specification to obtain the date for the issuing of tasks, to allow time for planning, resourcing and teaching.

3.12 Ensure appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body criteria

3.13 Where not provided by the awarding body, ensure a centre-devised template is provided for candidates to keep a detailed record of their own research, planning, resources etc.

4. Teaching Staff

- 4.1 Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting non-examination assessments*.
- 4.2 Ensure pupils are issued with the relevant JCQ documents: Information for candidates : Non-Examination Assessments.
- 4.3 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.
- 4.4 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.
- 4.5 Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- 4.6 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.
- 4.7 Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- 4.8 Mark internally assessed components using the mark schemes provided by the awarding body. This must be dated to reflect the time it was marked.
- 4.9 Annotate marking to clearly show where marks are awarded.
- 4.10 Build in time to allow candidates the opportunity to request a review of the centre's marking (Appendix A).
- 4.11 Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.
- 4.12 Retain candidates' work securely between assessment sessions (if more than one).
- 4.13 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.
- 4.14 Ask the appropriate special educational needs coordinator (SENDSCO) for any assistance required for the administration and management of access arrangements.
- 4.15 Ensure that if an assignment is word processed, the candidate's name appears on each page as a header or footer.
- 4.16 Keep a written log of any fire alarm/evacuation.

5. Exams Office Staff

- 5.1 Enter students for individual units, whether assessed by non-examination assessments, external exam or on-screen test, before the deadline for final entries.

5.2 Enter students' 'cash-in' codes for the terminal exam series.

5.3 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.

5.4 Download and distribute marksheets for teaching staff to use, and collect and send marksheets to awarding bodies before deadlines.

5.5 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.

6. Special Educational Needs and Disability Coordinator

6.1 Ensure access arrangements have been applied for.

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

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

7. Internal appeals against assessed work

7.1 Please refer to the Exam Policy.

8. The Risk Management Process

8.1 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.

8.2 This document should provide a useful starting point for the exams office staff when discussing with other colleagues risks and issues that might apply to their individual centres or consortium.

8.3 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.

Example risks and issues	Possible <i>remedial</i> action		Responsibility
	Forward planning	Action	
Timetabling			
Non-Examination Assessment schedule clashes with other activities	Plan/establish priorities at the start of the academic year	Plan dates in consultation with school calendar – negotiate with other parties	Senior Leadership

Too many Non-Examination Assessments close together across GCSE subjects	Plan Non-Examination Assessments so they are spaced over the duration of the course	Space Non-Examination Assessments to allow candidates sometime between them	
Malpractice			
Centre Staff Malpractice	All centre staff are to be familiar with and follow the current JCQ publication Instructions for conducting non-examination assessments, Instructions for conducting non-examination assessments (VTQs) and the JCQ document Notice to Centres - Sharing NEA material and candidates' work.	Complete JCQ form M2 and report to relevant awarding body	Senior Leadership
Candidate Malpractice is discovered	<p>All candidates are informed and understand they 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, AI 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.</p> <p>All candidates are made aware of the JCQ documents Information for candidates - nonexamination assessments/coursework and Information for candidates – social media - and understand they must not post their work on social media.</p>	<p>Instructions and processes in the current JCQ documents Instructions for conducting non-examination assessments (9. Malpractice) / Instructions for conducting coursework (6. Malpractice in coursework) are followed</p> <p>Investigation and reporting procedures in the current JCQ document Suspected Malpractice: Policies and Procedures are followed</p> <p>Appropriate internal disciplinary procedures are also followed.</p>	

Candidate Malpractice is suspected prior to submitting their work for assessment	<p>All candidates are informed and understand they 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, AI 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.</p> <p>All candidates are made aware of the JCQ documents Information for candidates - nonexamination assessments/coursework and Information for candidates – social media - and understand they must not post their work on social media.</p>	Instructions and processes in the current JCQ publication Instructions for conducting non-examination assessments (9. Malpractice) / Instructions for conducting coursework (6. Malpractice in coursework) are followed.	
Control Levels and Supervision			
<p>The assessment is undertaken under incorrect level of control (time, resources, supervision or collaboration)</p> <p>Teaching staff unclear that the supervision of Non-Examination Assessments is their responsibility.</p>	<p>Ensure teaching staff fully have the latest JCQ publication <i>Instructions for conducting Non- Examination Assessments</i> and the awarding body's subject specific guidelines. Arrange training if required.</p> <p>Centres must refer to the JCQ document <i>AI Use in Assessments: Protecting the Integrity of Qualifications</i>: http://www.jcq.org.uk/exams-office/malpractice as well as the awarding body's specification and/or associated documentation published by the awarding bodies and the regulator.</p>	Seek guidance from JCQ and the awarding body	Senior Leadership

A suitable supervisor has not been arranged for an assessment where teaching staff are not supervising.	A suitable supervisor must be arranged for any Non- Examination Assessment session where a teacher is not supervising, in line with the awarding body's specification	Arrangements for trained invigilators to be present during assessment	Directors of Learning Exams Officer
Accommodation			
Insufficient space / facilities in classrooms for candidates	At the start of the year, flag instances where regular classroom space may not be suitable to conduct Non- Examination Assessments	Use more than one classroom or multiple sittings where necessary	Subject Teacher
Downloading and security of awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Enlist IT support well ahead and download tasks before scheduled date of assessment Download tasks from another trust site or at Head Office	IT Exams Officer
Teaching staff unable to access task details	Test secure access rights ahead of Non-Examination Assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the Non-Examination Assessment schedule	
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact IT / awarding body and ask for replacement task; download again	
Assessment tasks not kept secure before assessment Candidates' work not kept secure during	Ensure teaching staff fully understand the importance of task security. Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Contact the awarding body to request/obtain different assessment tasks Seek guidance from the awarding body	Subject Teacher Exams Officer

or after assessment			
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Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	If appropriate, look at applying for special consideration	Directors of Learning
Candidates absent on the day of an examiner visit for an acceptable reason	Ensure all candidates are aware of key dates including examiner visits Absence calls made to parent on morning of absence to arrange for pupil to attend	Awarding body guidance is sought to determine if alternative assessment arrangements can be made for the candidate If not, eligibility for special consideration is explored and a request submitted to the awarding body where appropriate	Directors of Learning Exams Officer
Candidates absent on the day of examiner visit for unacceptable reason	Ensure all candidates are aware of key dates including examiner visits Absence calls made to parent on morning of absence to arrange for candidate to attend	Candidate is marked absent on the attendance register	Subject Teacher Directors of Learning Exams Officer
Deadlines			
Deadlines not met	Ensure all candidates are briefed on deadlines and the penalties for not meeting them Ensure teaching staff are given clear deadlines for submitting marks	Mark what candidates have produced by the deadline Seek guidance from awarding body on further action	Subject Teacher Directors of Learning

Deadlines not met by staff	<p>Internal/external deadlines are published at the start of each academic year</p> <p>Reminders are issued through senior leaders/subject heads as deadlines approach</p> <p>Records confirm deadlines known and understood by subject teachers</p>	<p>Seek guidance from awarding body</p> <p>Where appropriate, internal disciplinary procedures are followed.</p>	<p>Senior Leadership</p> <p>Directors of Learning</p> <p>Exams Officer</p>
Candidates unable to finish work by the deadline for unforeseen reason	N/A	Relevant staff determine if the candidate is eligible an application for special considerations to be made	
Authentication			
Signatures missing on authentication form	<p>Ensure all candidates have authentication forms to sign and form is securely attached to their work when it is completed and handed in for marking</p> <p>Teacher also to sign authentication forms</p>	<p>Work cannot be submitted without authentication form from student.</p> <p>Ensure teaching staff fully understand the importance of authentication forms and the requirement of signatures</p>	<p>Subject Teacher</p> <p>Directors of Learning</p>
Marking			
Teaching staff unclear on marking descriptions	<p>Ensure appropriate training and practicing of marking, exemplar available</p> <p>Plan for sampling of marking during the practice phase</p> <p>Plan against the awarding body's requirements for standardisation, i.e. when and how this activity must be conducted</p>	Consult the awarding body's specification for appropriate procedures and exemplar materials	Directors of Learning

Internal Appeals Procedure IAP

Non Examined Assessment (NEA) / BTEC Assignments

Matrix Academy Trust schools are committed to ensuring that whenever its staff mark candidates' Non Examined Assessment (NEA) this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill and who have been trained in this activity. Matrix Academy Trust schools are committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

This procedure ensures compliance with JCQ regulations which state that centres must:

- have in place for inspection, that must be reviewed and updated annually, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates
- before submitting marks to the awarding body, inform candidates of their centre-assessed marks and allow a candidate to request a review of the centre's marking

Principles relating to centre assessed marks

The head of centre/senior leader(s) at the school will ensure that the following principles are in place in relation to marking the work of candidates:

- A commitment to ensuring that whenever teaching staff mark candidates' work, that this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents
- All centre staff follow a robust policy regarding the management of non-examination assessments including controlled assessments and coursework which details the procedures relating to relevant qualifications delivered in the centre, including the marking and quality assurance/internal standardisation processes which relevant teaching staff are required to follow

- Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity and do not have any potential conflicts of interest (If AI tools have been used to assist in the marking of candidates' work, they will not be the sole marker)
- A commitment to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body (Where more than one subject teacher/tutor is involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking)
- On being informed of their centre-assessed marks, if a candidate believes that the above procedures were not followed in relation to the marking of their work, or that the assessor has not properly applied the marking standards to the marking, then the candidate may make use of the appeals procedure below to consider whether to request a review of the centre's marking.

Procedure for appealing internal assessment decisions (centre-assessed marks)

The head of centre/senior leader(s) at the school will:

- Ensure that candidates are informed of their centre-assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body
- Inform candidates that they will need to explain on what grounds they wish to request a review of an internally assessed mark as a review will only focus on the quality of work submitted
- Inform candidates that they may request copies of materials (as a minimum, a copy of the marked assessment material (work) and the mark scheme or assessment criteria plus additional materials which may vary from subject to subject) to assist them in considering whether to request a review of the centre's marking of the assessment
- Having received a request for copies of materials, promptly make them available to the candidate (this will either be the originals viewed under supervised conditions or copies) within the period of time as specified (see **Deadlines** below)
- Inform candidates they will not be allowed access to original assessment material, including artefacts, unless supervised
- Provide candidates with sufficient time to allow them to review copies of materials and reach a decision, informing candidates that if their decision is to request a review they will need to explain what they believe the issue to be
- Provide a clear deadline for candidates to submit a request for a review of the centre's marking and confirm understanding that requests must be made in writing and will not be accepted after this deadline (see **Deadlines** below)
- Require candidates to make requests for a review of centre marking by making a written request to the Headteacher

- Allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline for the submission of marks (see **Deadlines** below)
- Ensure that the review of marking is conducted by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate for the component in question and has no personal interest in the outcome of the review
- Instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the centre
- Inform the candidate in writing of the outcome of the review of the centre's marking
- Ensure the outcome of the review of the centre's marking is made known to the head of centre who will have the final decision if there is any disagreement on the mark to be submitted to the awarding body
- Ensure a written record of the review is kept and made available to the awarding body upon request.
- Ensure the awarding body is informed if the centre does not accept the outcome of a review.

Appeals against decisions to reject a candidate's work on the grounds of malpractice

The JCQ **Information for candidates' documents** (Coursework, Non-examination assessments, Social media) which are distributed to all candidates prior to assessments taking place, inform candidates of the things they must and must not do when they are completing their work.

The JCQ **Information for candidates - AI (Artificial Intelligence and assessments)** or similar centre document is issued to candidates prior to assessments taking place (and prior to a candidate signing the declaration of authentication which relates to their work).

The centre ensures that staff delivering/assessing coursework, internal assessments and/or non-examination assessments are aware of centre procedures relating to the authentication of learner work and have robust processes in place for identifying and reporting plagiarism (including AI misuse) and other potential candidate malpractice.

Candidate malpractice offences relating to the content of work (i.e. inappropriate/offensive content, copying/collusion, plagiarism (including AI misuse) and/or false declaration of authentication) which are discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication do not need to be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures.

Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment where the offence does not relate to the content of candidates' work (e.g. possession of unauthorised materials, breach of assessment conditions) or

where a candidate has signed the declaration of authentication, must be reported to the awarding body.

If there are doubts about the authenticity of the work of a candidate or irregularities are identified in a candidate's work before the candidate has signed the declaration of authentication/authentication statement (where required) and malpractice is suspected, the school will:

- Investigate any incidents fully and inform the relevant Awarding Body.
- Inform parents of the incident and what the outcomes could be.
- If enough time remains in the assessment window, the candidate will be allowed to re-do the work, this can be in after school sessions if necessary.
- Once received by the school, the Awarding Body decision will be communicated to pupils and parents in writing.

If a candidate who is the subject of the decision disagrees with the decision:

A written request, setting out as clearly and concisely as possible the grounds for the appeal including any further evidence relevant to supporting the appeal, should be submitted in writing to the Headteacher within five school days of the decision being made known to the appellant.

The appellant will be informed of the outcome of the appeal within five school days of the appeal being received by the centre

Deadlines and timescales

- Upon request, copies of materials will be made available to the candidate within five school days
- The deadline to request a review of marking must be made within five school days of the candidate receiving copies of the requested materials
- The process for completing the review, making any changes to marks, and informing the candidate of the outcome will be completed within 5 school days, all before the awarding body's deadline for the submission of marks.

