



Unity Academy Blackpool

An Academy within the Fylde Coast Academy Trust

Conducting Non-Examination Assessments

Policy Review Date: March 2020

1 What does this policy affect?

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

“The regulator’s definition of an examination is very narrow and in effect any type of assessment that is not ‘externally set and taken by candidates at the same time under controlled conditions’ is classified as non-examination assessment (NEA). ‘NEA’ therefore includes, but is not limited to, internal assessment. Externally marked and/or externally set practical examinations taken at different times across centres are classified as ‘NEA’.”

[Definition taken directly from the JCQ publication [Instructions for conducting non-examination assessments 2018-19](#) – Foreword, page 3]

This publication is further referred to in this policy as NEA

2 Purpose of the policy

The purpose of this policy, as defined by JCQ, is:

- 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.

[[NEA](#) – The basic principles, page 4]

3 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.

[[NEA](#) – The basic principles, page 4]

4 Procedures for planning and managing non-examination assessments identifying staff roles and responsibilities

4.1 The basic principles

4.1.1 Head of Centre

- Provides a signed declaration as part of the National Centre Number Register Annual Update to confirm awareness of and that relevant centre staff are adhering to the latest version of [NEA](#).
- Ensures that the centre’s *non-examination assessment policy* is fit for purpose.
- Ensures the centre’s *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internally assessed marks.

4.1.2 Senior Leadership Team (SLT)

- Ensure the correct conduct of non-examination assessments which comply with NEA and awarding body subject-specific instructions.
- Ensure the centre-wide calendar records assessment schedules by the start of the academic year.

4.1.3 Quality Assurance (QA) Lead/Lead Internal Verifier

- Confirms with subject heads that appropriate awarding body forms and templates for non-examination assessments are used by teachers and candidates.
- Ensures appropriate procedures are in place to internally standardise/verify the marks awarded by subject teachers in line with awarding body criteria.
- Ensures appropriate centre-devised templates are provided to capture/record relevant information given to candidates by subject teachers.
- Ensures appropriate centre-devised templates are provided to capture/record relevant information is received and understood by candidates.
- Where not provided by the awarding body, ensures a centre-devised template is provided for candidates to keep a detailed record of their own research, planning, resources etc.

4.1.4 Head of Departments/Curriculum Area Leaders (CALs)

- Ensures subject teachers understand their role and responsibilities within the non-examination assessment process.
- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments.
- Works with the QA Lead/Lead Internal Verifier to ensure appropriate procedures are followed to standardise internally/verify the marks awarded by subject teachers.

4.1.5 Subject Teacher

- Understands and complies with the general instructions as detailed in NEA.
- Where these may also be provided by the awarding body, understands and complies with the awarding body's specification for conducting non-examinations assessments, including any subject specific instructions, teachers' notes or additional information on the awarding body's website.
- Marks internally assessed work to the criteria provided by the awarding body.
- Ensures the exams officer is provided with relevant entry codes for subjects (whether the entry for the internally assessed component forms part of the overall entry code or is made as a separate unit entry code) to the internal deadline for entries.

4.1.6 Exams Officer

- Signposts the annually updated JCQ publication [NEA](#) to relevant centre staff.
- 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.
- Download and distribute marksheets for teaching staff to use, and collect and send marksheets to awarding bodies before deadlines.
- On the few occasions where non-examination assessments cannot be conducted in the classroom, arrange suitable accommodation where assessments can be carried out, at the direction of the senior leadership team.
- Check and confirm details of all unit codes for non-examination assessments with CALs.

4.2 Task setting

4.2.1 Subject Teacher

- Selects tasks from a choice provided by the awarding body OR designs tasks where this is permitted by criteria set out within the subject specification.
- Makes candidates aware of the criteria used to assess their work.

4.3 Issuing of tasks

4.3.1 Subject Teacher

- Determines when set tasks are issued by the awarding body.
- Identifies date(s) when tasks should be taken by candidates
- Accesses set tasks in sufficient time to allow planning, resourcing and teaching and ensures that materials are stored securely at all times.
- Ensures requirements for legacy specification tasks and new specification tasks are distinguished between.

4.4 Task Taking

4.4.1 Supervision

Subject Teacher

- Checks the awarding body's subject-specific requirements ensuring candidates take tasks under the required conditions and supervision arrangements.
- Ensures there is sufficient supervision to enable the work of a candidate to be authenticated.
- Ensures there is sufficient supervision to ensure the work a candidate submits is their own.
- Is confident where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own.
- Where candidates may work in groups, keeps a record of each candidate's contribution.
- Ensures candidates are aware of, understand, and comply with the current Jcq *Information for candidates* documents.

4.4.2 Advice and feedback

Subject Teacher

- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task.
- Will not provide candidates with model answers or outlines/headings specific to the task.
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates.
- Allows candidates to revise and re-draft work after advice has been given at a general level.
- Records any assistance given beyond general advice and takes into account in the marking or submits it to the external examiner.
- Ensures when work has been assessed, candidates are not allowed to revise it.

4.4.3 Resources

Subject Teacher

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources when planning and researching their tasks.
- Ensures conditions for any formally supervised sessions are known and put in place.
- Ensures appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically.
- Ensures conditions for any formally supervised sessions are understood and followed by candidates.
- Ensures candidates understand that they are not allowed to introduce improved notes or new resources between formally supervised sessions.
- Ensures that where appropriate to include references, candidates keep a detailed record of their own research, planning, resources etc.

4.4.4 Word and time limits

Subject Teacher

- Refers to the awarding body's specification to determine where word and time limits apply/are mandatory.

4.4.5 Collaboration and group work

Subject Teacher

- Unless stated otherwise in the awarding body's specification, and where appropriate, allows candidates to collaborate when carrying out research and preparatory work.
- Ensures that it is possible to attribute assessable outcomes to individual candidates.
- Ensures that where an assignment requires written work to be produced, each candidate writes up their own account of the assignment.
- Assesses the work of each candidate individually.

4.4.6 Authentication procedures

Subject Teacher

- Where required by the awarding body's specification:
 - ensures candidates sign a declaration confirming the work they submit for final assessment is their own unaided work;
 - signs the teacher declaration of authentication confirming the requirements have been met.
- Keeps signed candidate declarations on file until the deadline for requesting reviews of results has passed or until any appeal, malpractice or any other results enquiry has been completed, whichever is later.
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector.
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs a member of the senior leadership team and examinations officer.

4.4.7 Presentation of work

Subject Teacher

- Obtains informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution.
- Instructs candidates to present work as detailed in NEA unless the awarding body's specification gives different subject-specific instructions.
- Instructs candidates to add their candidate number, centre number and the component code of the assessment as a header/footer on each page of their work.

4.4.8 Keeping materials secure

Subject Teacher

- When work is being undertaken by candidates under formal supervision, ensures work is securely stored between sessions (if more than one session).
- When work is submitted by candidates for final assessment, ensures work is securely stored.
- Follows secure storage instructions as defined in **NEA 4.8**.
- Takes sensible precautions when work is taken home for marking.
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until the closing date for reviews of results or until the outcome of a review or any subsequent appeal has been completed.
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means (the JCQ document [Information to candidates – social media](#) should be brought to the attention of candidates).
- Liaises with the IT Manager to ensure that appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically.

IT Manager

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically.

4.5 Test marking – externally assessed components

4.5.1 Conduct of externally assessed work

Subject Teacher

- Liaises with the exams officer regarding the arrangements for any externally assessed components of a specification which must be conducted within a window of dates specified by the awarding body and according to *JCQ Instructions for conducting examinations*.
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component.

Exams Officer

- Arranges timetabling, rooming and invigilation where and if this is applicable to any externally assessed non-examination component of a specification.
- Conducts the externally assessed component within the window specified by the awarding body and according to *JCQ instructions for conducting examinations*.

4.5.2 Submission of work

Subject Teacher

- Provides the attendance register to a Visiting Examiner.

Exams Officer

- Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner.
- Ensures the awarding body's attendance register for any externally assessed component is completed correctly to show candidates who are present and any who may be absent.
- Where candidates' work must be dispatched to an awarding body's examiner, ensures the completed attendance register accompanies the work.
- Keeps a copy of the attendance register until after the deadline for reviews of results for the exam series.
- Packages the work as required by the awarding body and attached the examiner address label.
- Dispatches the work to the awarding body's instructions by the required deadline.

4.6 Test marking – internally assessed components

4.6.1 Marking and annotation

Head of Centre

- Ensures where a teacher teaches his/her own child, a conflict of interest is declared to the awarding body and the marked work of the child is submitted for moderation, whether it is part of the moderation sample or not.

Head of Departments/Curriculum Area Leaders (CALs)

- Set timescales for teachers to inform candidates of their centre-assessed marks that will allow sufficient time for a candidate to appeal an internal assessment decision/request a review of the centre's marking prior to the marks being submitted to the awarding body's external deadline.

Subject Teacher

- Attends awarding body training as required to ensure familiarity with the mark scheme/marketing process.
- Marks candidates' work in accordance with the marking criteria provided by the awarding body.
- Annotates candidates' work as required to facilitate internal standardisation of marking and enable external moderation to check that marking is in line with the assessment criteria.
- Informs candidates of their marks which could be subject to change by the awarding body's moderation process.
- Ensures candidates are informed of the timescale set by the subject lead or as indicated in the centre's *internal appeals procedure*.

4.6.2 Internal standardisation

Quality Assurance (QA) Lead/Lead Internal Verifier

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence.
- Supports staff not familiar with the mark scheme (e.g. NQTs, supply staff etc.)
- Ensures accurate internal standardisation – for example by:
 - obtaining reference materials at an early stage in the course;
 - holding a preliminary trial marking session prior to marking;
 - carrying out further trial marking at appropriate points during the marking period;
 - after most marking has been completed, holds a further meeting to make final adjustments;
 - marking final adjustments to marks prior to submission;
 - retaining work and evidence of standardisation.
- Retains evidence that internal standardisation has been carried out.

Subject Teacher

- Indicates on work (or cover sheets) the date of marking
- Marks to common standards
- Keeps candidates work secure until after the closing date for review of results for the series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

4.6.3 Submission of marks and work for moderation

Subject Teacher

- Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks awarded until the external deadline/Provides marks to the Exams officer by the internal deadline.
- Submits the requested samples of candidates' work to the awarding body moderator by the external deadline, keeping a record of work submitted/Provides the moderation sample to the Exams Officer by the internal deadline.
- Ensures that where a candidate's work has been facilitated by a scribe or practical assistant, the relevant completed cover sheet is securely attached to the front of the work and sent to the moderator in addition to the sample requested.
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required.

Exams Officer

- Inputs and submits marks online, via the awarding body secure extranet site, keeping a record of the marks submitted until the external deadline/Confirms with subject teachers that marks have been submitted by the awarding body's deadline.
- Where responsible for marks input, ensures checks are made that marks for any additional candidates are submitted and ensures mark input is checked before submission to avoid transcription errors.
- Submits the requested samples of candidates' work to the moderator by the awarding body deadline, keeping a record of the work submitted/Confirms with Subject teacher that the moderation sample has been submitted to the awarding body deadline.

(Exams Officer)

- Ensures that for postal moderation:
 - Work is dispatched in packaging provided by the awarding body;
 - Moderator label(s) provided by the awarding body are affixed to the packaging;
 - Proof of dispatch is obtained and kept on file until the successful issue of final results.
- Through the subject teacher, ensures the moderation is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required.

4.6.4 Storage and retention of work after submission of marks

Subject Teacher

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample.
- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions for the required retention period.
- Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place.
- Retains evidence of work where retention may be a problem (for example. Photos of artefacts etc.)

Exams Officer

- Ensures any sample returned after moderation is logged and returned to the subject teacher for secure storage and required retention.

4.6.5 External moderation – the process

Subject Teacher

- Ensures that the awarding body or its moderator receive the correct samples of candidates' work.
- Where relevant, liaises with the awarding body/moderator where the moderator visits the centre to mark the sample of work.
- Complies with any request from the moderator for remaining work or further evidence of the centre's marking.

4.6.6 External moderation – feedback

Head of Departments/Curriculum Area Leaders (CALs)

- Checks the final moderated marks when issued to the centre when the results are published.
- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next examination series.

Exams Officer

- Accesses or signposts moderator reports to relevant staff.
- Takes remedial action, if necessary, where feedback may relate to centre administration.

4.7 Access Arrangements

Subject Teacher

- Works with the SENCo to ensure any access arrangements for eligible candidates are applied to assessments.

Special Educational Needs Coordinator (SENCo)

- Follows the regulations and guidance in the JCQ publication *Access Arrangements and Reasonable Adjustments* in relation to non-examination assessments.
- Where arrangements do not undermine the integrity of the qualification and is the candidate's normal way of working, will ensure access arrangements are in place and awarding body approval, when required, has been obtained prior to assessments taking place.
- Makes subject teachers aware of any access arrangements for eligible candidates which need to be applied to assessments.
- Works with subject teachers to ensure requirements for access arrangement candidates requiring the support of a facilitator in assessments are met.
- Ensures that staff acting as an access arrangement facilitator are fully trained in their role.

Exams Officer

- Liaises with SENCo to ensure access arrangements are in place and awarding body approval, where required, has been obtained prior to the assessments taking place.

4.8 Special consideration and loss of work

Subject Teacher

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate is absent and/or produces a reduced quantity of work.
- Liaises with the Exams Officer when special consideration may need to be applied for a candidate taking assessment.
- Liaises with the Exams Officer to report loss of work to the awarding body.

Exams Officer

- Refers to/directs relevant staff to the JCQ publication *A guide to the special consideration process*
 - Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale.
 - Where application for special consideration via the awarding body's secure extranet is not applicable, submits the required form to the awarding body to the prescribed timescale.
 - Keeps required evidence on file to support the application

4.9 Malpractice

Head of Centre/Senior Leadership Team (SLT)

- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, invigilators or other administrative staff.
- Is familiar with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*.
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice itself.

Subject Teacher

- Is aware of the JCQ *Notice to Centres – Sharing NEA material and candidates’ work* to mitigate against candidate and centre malpractice.
- Ensures candidates understand the JCQ document *Information for candidates – non-examination assessments*.
- Ensures candidates understand the JCQ document *Information for candidates – Social Media*.
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the Head of Centre and Exams Officer.

Exams Officer

- Signposts the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* to the Head of Centre.
- Signposts the JCQ *Notice to Centres - Teachers sharing assessment material and candidates’ work* to subject heads.
- Signposts candidates to the relevant JCQ information for candidates documents
- Where required, supports the Head of Centre in investigating and reporting incidents of alleged, suspected or actual malpractice.

4.10 Post-Results Services

Head of Centre/Senior Leadership Team (SLT)

- Ensures the centre’s *internal appeals procedures* clearly detail the procedure to be followed by the candidates (or their parents/carers) appealing against a centre decision not to support a review of results or an appeal.

Head of Departments/Curriculum Area Leaders (CALs)

- Provides relevant support to subject teachers making decisions about reviews of results.

Subject Teacher

- Provides advice and guidance to candidates on their results and the post-results services available.
- Provides the exams officer with the original sample or relevant sample of candidates’ work that may be required for a review of moderation to the internal deadline.
- Supports the exams officer in collecting candidate consent where required.

Exams Officer

- Is aware of the individual post-results services available for externally assessed and internally assessed components of non-examination assessments as detailed in the JCQ publication *Post Results Services (Information and guidance to centres...)*.
- Provides/signposts relevant centre staff and candidates to post-results services information.
- Ensures any requests for post-results services that are available to non-examination assessments are submitted online via the awarding body secure extranet site by the deadline.
- Collects candidate consent where required.