Enterprise Learning Alliance

Examinations Non-Examined Assessments Policy and Risk Assessment

Date	Approval Date	Review Date
7 November 2023	17 November 2023	6 November 2024

Contents

Scope of this policy

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

The same principles apply to the Non-Examination Assessments (NEA) carried out for qualifications including Entry Level Certificates and BTEC. Therefore, this policy also applies for these qualifications.

The regulators' definition of an examination is very narrow. In effect, any type of assessment that is not:

- set by an awarding body
- designed to be taken simultaneously by all relevant candidates at a time determined by the awarding body, and
- taken under conditions specified by the awarding body (including conditions relating to the supervision of candidates during the assessment and the duration of the assessment)

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.

Purpose of the policy

- The purpose of this policy, as defined by JCQ, is to
- cover procedures for planning and managing non-examination assessments
- define staff roles and responsibilities with respect to non-examination assessments
- manage risks associated with non-examination assessments
- The policy will need to cover all types of non-examination assessment.

This policy should be considered together with:

ELA Examination BTEC Polices Procedures and Practices
ELA Examination Conflict of Interests Policy
ELA Examination Contingency Plan
ELA Examination Internal Assessments Appeals Procedures
ELA Examination Malpractice Policy
ELA Examination Policy
ELA Examination Recognition of Prior Learning
ELA Examination Whistleblowing Policy
ELA Examination Word Processor Policy

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

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

The basic principles

Head of centre

- Returns 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 version of NEA
- Ensures that the centre's non-examination assessment policy is fit for purpose and covers all types of non-examination assessment
- Ensures the centre's *internal appeals procedures* clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internally assessed decisions (centre assessed marks) and requesting a review of the centre's marking.

Senior leaders

- 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

Quality Assurance (QA) Lead/Lead Internal Verifier

- Confirms with subject leaders 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.

Subject Lead

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

Subject Teacher

- Understands and complies with the general instructions as detailed in NEA
- Where these may also be provided by the awarding body, understands and complies 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
- 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 as advised by the Exams Officer

Exams Officer

- Signposts the annually updated JCQ NEA publication to relevant centre staff
- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment

Task setting

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

Issuing of tasks

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 the correct task is issued to candidates

Task taking

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 pupils 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 and it must be possible to attribute assessable outcomes to individual pupils
- Ensures candidates are aware of the JCQ documents *Information for candidates - non-examination assessments* and *Information for candidates - Social Media*, that they understand these and comply with the regulations
- Ensure pupils:
  - ✦ Understand that information from all sources must be referenced
  - ✦ Receive guidance on setting out references
  - ✦ Are aware that they must nor plagiarise other material

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 pupils with model answers or writing frames specific to the task
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- Allow 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 it into account in the marking or submits it to the external examiner
- Ensures when work has been assessed, candidates are not allowed to revise it

Resources

Subject teacher

- Refers to the awarding body's specification and/or associated documentation to determine if candidates have restricted/unrestricted access to resources including the internet and AI when planning and researching their tasks
- Refers to the JCQ document AI Use in Assessment, as well as the awarding bodies and the regulator specification and/or associated documentation published by the awarding bodies and the regulator
- By referencing this document, make pupils aware of the appropriate and inappropriate use of AI, the risks of using AI, and the possible consequences of using AI inappropriately in a qualification assessment.
- 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.

Word and time limits

Subject teacher

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

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

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 enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- Provides signed candidate declarations where these may be requested by a JCQ Centre Inspector
- Where there may be doubt about the authenticity of the work of a candidate or if malpractice is suspected, follows the authentication procedures and malpractice information in NEA and informs the exams officer
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will the mark(s) awarded by the centre to zero

Presentation of work

Subject teacher

- Obtains informed consent at the beginning of the course from parents/carers if videos or photographs/images of pupils 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
- Ensures if candidates' work is to be submitted electronically, that it meets the awarding body's specified requirements

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

- 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 enquiries about results or until the outcome of an enquiry or any subsequent appeal has been conveyed to the centre
- Reminds candidates of the need to keep their own work secure at all times and not share completed or partially completed work on-line, on social media or through any other means (Reminds candidates of the contents of the JCQ document Information for candidates – Social Media)
- 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
- Restricts access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software
- Employs and effective back-up strategy so that an up to date archive of pupils' evidence is maintained
- Considers encrypting any sensitive digital media to ensure the security of the data stored within it and refers to awarding body guidance to ensure that the method of encryption is suitable

Task marking – externally assessed components

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 where applicable, according to JCQ Instructions for conducting examinations
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component

Submission of work

Teachers

- Provides exam officer with the pupils' work, pupil declaration form, teacher declaration form by the deadline advised to them by the exam officer

Exams officer

- Where candidates' work must be despatched to an awarding body's examiner or uploaded electronically, ensures this is completed by the date specified by the awarding body
- Packages the work as required by the awarding body and attaches the examiner address label
- Ensures that the package in which the work is despatched is robust and securely fastened

- Despatches the work to the awarding body's instructions by the required deadline

Task marking – internally assessed components

Marking and annotation

Head of Centre

- Makes every effort to avoid situations where a pupil is assessed by a person who has a close personal relationship with the pupil, for example, members of their family, or close friends and their immediate family
- Where this cannot be avoided, ensures the possible conflict of interest is declared to the relevant awarding body and the marked work is submitted for moderation whether or not it is part of the moderation sample

Subject Lead

- Sets timescales for teachers to inform candidates of their centre-assessed marks that will allow sufficient time for a pupil to appeal and internal assessment decision/request a review of the centre's marking prior to the marks being submitted to the awarding body

Subject teacher

- Access awarding body training/updates as required to ensure familiarity with the mark scheme/marking 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 moderation process**
- Ensures candidates are informed in a timely manner to enable an internal appeal to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body

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 trail marking session prior to marking
  - ✦ carrying out a further trial marking at appropriate points during the marking period
  - ✦ after most marking has been completed, hold a further meeting to make final adjustments
  - ✦ making 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 sheet) 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

Submission of marks and work for moderation

Subject teacher

- Provides marks to the exams officer to the internal deadline
- Provides the moderation sample to the exams officer to the internal deadline
- Ensures the moderator is provided with authentication of candidates' work, confirmation that internal standardisation has been undertaken and any other subject-specific information where this may be required
- Ensures that where a candidate's work has been facilitated by a scribe or practical assistant, the relevant completed cover sheet is completed and sent to the moderator in addition to the sample requested

Exams officer

- Inputs and submits marks online via the awarding body secure extranet site, keeping a record of the marks submitted to the external 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
- 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 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
- Through the subject teacher, submits any supporting documentation required by the awarding body

Storage and retention of work after submission of marks

Subject teacher

- Retains evidence of work where retention may be a problem (for example, photos of artefacts etc.)

Exams officer

- Keeps a record of names and candidate numbers for candidates whose work was included in the moderation sample
- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions until after the deadline for enquiries about results

- Takes steps to protect any work stored electronically from corruption and has a back-up procedure in place. Ensures any sample returned after moderation is logged and returned to the subject teacher for secure storage and required retention

External moderation - feedback

Subject leader

- 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

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

Head of centre

- Provides a signed declaration as part of the National Centre Number Register Annual Update, that 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 Spoken Language endorsement

Subject leader

- Ensures the appropriate arrangements are in place for internal standardisation of assessments
- Confirms understanding of the Spoken Language Endorsement for GCSE English
- Language specifications designed for use in England and ensures any relevant
- JCQ/awarding body instructions are followed
- Ensures the required task setting and task taking instructions are followed by subject teachers
- Ensures subject teachers assess candidates, either live or from recordings, using the common assessment criteria
- Ensures for monitoring purposes, audio-visual recordings of the presentations of a sample of candidates are provided

Subject teacher

- Ensures all the requirements in relation to the endorsement are known and understood
- Follows the required task setting and task taking instructions
- Assesses candidates, either live or from recordings, using the common assessment criteria
- Provides audio-visual recordings of the presentations of a sample of candidates for monitoring purposes
- Follows the awarding body's instructions for the submission of grades (Pass, Merit, Distinction or Not Classified) and the storage and submission of recordings

Exams officer

- Follows the awarding body's instructions for the submission of grades and the storage and submission of recordings

Management of issues and potential risks associated with non-examination assessments

Non Examined Assessments (NEA)			
Risks and issues	**Possible remedial action**		**Staff**
	Forward planning	**Action**	
Timetabling			
NEA schedule clashes with other activities	Plan/establish priorities well ahead (e.g. at the start of the academic year)	Plan dates in consultation with school calendar – negotiate with other parties	Subject Leaders who are planning the NEA. Deputy Headteacher
Too many NEA close together across courses	Plan NEA so they are spaced over the duration of the course	Space NEA to allow Pupils sometime between them	Subject Leads to discuss at Curriculum Planning Meetings. Deputy Head.
Accommodation			
Insufficient space in classrooms for Pupils	Once the size of the cohort is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct NEA	Use more than one classroom or multiple sittings where necessary	Subject Leads to ensure Examinations Officer has number of Pupils information by the end of Term 3 to allow for planning

Insufficient facilities for all Pupils	Careful planning ahead and booking of rooms and checking of equipment/centre facilities	Examinations Officer to circulate numbers to Centre Managers who will nominate a teacher to be in charge of ensuring correct supplies and facilities are available to all Pupils	Subject Leads
Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	Teacher
Teaching staff unable to access task details	Test secure access rights ahead of controlled 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 controlled assessment schedule	Subject Leads and Teachers
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	Teacher
Absent Pupils			
Pupils absent for all or part of assessment (various reasons)	Plan alternative session(s) for Pupils		Teacher

Control levels for task taking			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	JCQ instructions available at https://www.jcq.org.uk Subject Leads to train teachers regularly
Supervision			
Pupil study diary/plan not provided or completed (Not all NEA will require the completion of a study diary or study plans)	Ensure teaching staff are aware of the need for study diary/plans to be completed early in course	Ensure Pupils start, continue and complete study diary/plans that are signed after every session	JCQ instructions available at https://www.jcq.org.uk Subject Leads to train teachers regularly
Teaching staff do not understand that the supervision of NEA is their responsibility	Ensure teaching staff fully understand the nature of NEA and their role in supervising assessments		JCQ instructions available at https://www.jcq.org.uk Subject Leads to train teachers regularly
A suitable supervisor has not been arranged for an assessment where teaching staff are **not** supervising	A suitable supervisor must be arranged for any NEA session where a teacher is not supervising, in line with the awarding body's specification		Subject Leads train teachers and teaching assistants regularly

Task setting			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification. All tasks whether set by the awarding body or the centre **must** be developed in line with the requirements of the specification.	Seek guidance from the awarding body	Subject Leads to check tasks set by teachers
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Subject Leads to train teachers regularly
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the awarding body to request/obtain different assessment tasks	Subject Leads to train teachers regularly on JCQ security requirements
Pupils' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Seek guidance from the awarding body	Subject Leads to train teachers regularly on JCQ security requirements

Insufficient or insecure storage space	Look at provision for suitable storage at the start of the courses	Find alternative storage within the centre	Subject Leads to check storage facilities and advise Centre Manager of any concerns regarding shortage of storage at start of academic year.
Deadlines			
Deadlines not met by Pupils	Ensure all Pupils are briefed on deadlines and the penalties for not meeting them	Mark what Pupils have produced by the deadline Seek guidance from awarding body on further action	Teachers
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines)	Seek guidance from awarding body	Subject Leads

Authentication			
Pupil fails to sign authentication form	Ensure all Pupils have authentication forms to sign Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking	Find Pupil and ensure authentication form is signed	Teacher
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature Ensure authentication forms are signed as work is marked	Teacher/Exam Officer
Marking			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking Plan for sampling of marking during the practice phase	Arrange for re-marking Consult the awarding body's specification for appropriate procedures	Subject Leads
Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirements for standardisation, i.e. when and how this activity must be conducted	Check with the awarding body whether a later standardisation event can be arranged	Subject Leads
Examinations Officer is not able to attend.		Deputy Head and Head of Centre to follow Examinations Contingency Plan, saved on staff area and in Exams Policies file in exams office.	Deputy Head and Head of Centre

Fire Alarm sounds.	Procedure to follow in invigilator handbook in every venue.	Follow procedure	Invigilators and Exams Officer
Pupil is ill during an exam.	Procedure to follow in invigilator handbook in every venue. Special Consideration to be applied for.		Invigilators and Exams Officer
Pupils fail to arrive for exams.	Pupils' timetables posted home. Centre Managers have copies and chase absentees at registration prior to exam	Invigilators to report absences to Centre Managers Centre Managers then phones home or arranges for Pupils to be collected by minibus.	Invigilators and Centre Managers
Pupil arrives late for an exam.	Pupil's timetables posted home.	Procedure to follow in invigilator handbook for every exam venue.	Invigilators, Exams Officer
Pupils arrive who are not entered.	Subject Leads check all entry marksheets and sign to confirm they are correct.	Exams Officer to establish if Pupil is to take paper in consultation with Centre Manager	Exams Officer and Centre Manager
Malpractice.	Parents and Pupils are given examination rules at the exam evening, exam assemblies and with their entry and timetable letters.	Procedure to follow in invigilator handbook in every exam venue. Report to Exams Officer	Invigilators, Exams Officer