



# Non-Examination Assessment Policy

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## 1. Purpose of the policy

The purpose of this policy, as defined by JCO[SE1], 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*

### What does this policy affect?

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

*“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’.”*

### What are non-examination assessments (NEA)?

*“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.*

## 2. Responsibilities

### Head of Centre

- Ensures that the centre’s NEA is fit for purpose.
- Ensures the centre’s *internal appeals procedures* are followed in liaison with the Deputy Headteacher.

### Deputy Head (with responsibility for examinations)

- Ensures that the exams system operates efficiently and that it acts in the best interests of candidates.
- Confirms with subject heads that appropriate awarding body forms 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 forms are provided to record relevant information given to candidates by subject teachers.
- Ensures appropriate centre-devised forms are provided to record relevant information that 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 leader

- Ensures subject teachers understand their role and responsibilities within the NEA process.

- Ensures NEA and relevant awarding body subject specific instructions are followed in relation to the conduct of non-examination assessments.
- Works with the Deputy Headteacher 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.
- Where these may also be provided by the awarding body, understands and complies with the awarding body's specification for conducting NEA, 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 component/unit entry code) to the internal deadline for entries.

### **Exams Officer**

- Carries out tasks where these may be applicable to the role in supporting the administration/management of non-examination assessment.

### **Assessment: 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 (including any mandatory time limits or word limits).
- Determines when set tasks are issued.
- Identifies date(s) when tasks should be taken by candidates, which are calendared.
- Accesses set tasks in sufficient time to allow planning, resourcing and teaching and ensure that materials are stored securely at all times.
- 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 that a candidate submits is their own.
- Where candidates may work in groups, keeps a record of each candidate's contribution.
- Ensures candidates are aware of the JCQ documents *Information for candidates - non-examination assessments* and *Information for candidates - Social Media*.
- Ensure candidates understand and comply with the regulations in relevant JCQ documents *Information for candidates*.

### **Advice and feedback: Subject teacher**

- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a 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.
- The work submitted for assessment will include references to any sources used, where appropriate.

To facilitate this, each candidate will keep a detailed record of their own research, planning and resources etc. The record will include all the sources used, including books, websites and audio/visual resources. |

**Resources: Subject teacher**<sup>[SE2]</sup>

- 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 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.
- 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. '[Notice to Centres – Sharing NEA material and candidates' work](#)

**Presentation of work: Subject teacher**

- Instructs candidates to present work as detailed in NEA unless the awarding body's specification gives different subject specific instructions.<sup>[SE3]</sup>

- 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.

#### **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.
- Secure storage instructions are followed.
- Takes sensible precautions when work is taken home for marking. [LT4]
- 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.
- 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.

#### **Network Manager**

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

### **3. Task marking: externally assessed components**

#### **Conduct of externally assessed work**

##### **Subject teacher**

- Liaises with the Examinations Officer regarding arrangements for the conduct of any externally assessed non-examination component of a specification.
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component.

##### **Exams Officer**

- Arranges timetabling, rooming and invigilation where 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.
- Conducts the externally assessed component according to the JCQ publication *Instructions for conducting examinations*.

#### **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 despatched 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 enquiries about results for the exam series.
- Packages the work as required by the awarding body and attaches the examiner address label.
- Despatches the work to the awarding body's instructions by the required deadline.

### **Task marking: internally assessed components**

#### **Marking and annotation: Subject teacher**

- 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: Head of Department**

- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence.

#### **Subject teacher**

- Indicates on work (or cover sheet) the date of marking.
- Marks to common standards.



## Submission of marks and work for moderation

### Subject teacher

- Inputs and submits marks through the school's management information system, keeping a record of the marks awarded to the external deadline/provides marks to the Exams Officer to the internal 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 awarding body moderator by the external deadline, keeping a record of the work submitted/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.
- Where a student retakes a qualification, which includes an NEA component, they may carry forward the mark for this component, if permitted by the awarding body.
- Previous NEA may be enhanced and resubmitted if a student retakes a qualification, unless prohibited by the awarding body or if the awarding body changes the task annually.

### Exams Officer

- Submits marks online via the awarding body secure extranet site, keeping a record of the marks submitted to the external deadline/confirms with subject teachers that marks have been submitted to the awarding body deadline.
- 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.
- 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.

#### 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 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.
- 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.

#### 5. External moderation: feedback

##### Subject head/lead

- 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.

#### 6. Access arrangements

##### Subject teacher

- Works with the **Special Educational Needs Coordinator (SENCo)** to ensure any access arrangements for eligible candidates are applied to assessments.

##### SENCo

- Follows the regulations and guidance in the JCQ publication *Access Arrangements and Reasonable Adjustments*.
- Where arrangements do not undermine the integrity of the qualifications and are the candidate's normal way of working, will ensure access arrangements are in place and awarding body approval, where 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.

## 7. Special consideration

### Subject teacher

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate:
  - is absent for a period of time and is not able to catch up the work
  - produces a reduced quantity of work<sup>[LT5]</sup>
  - work has been lost
- Liaises with the Exams Officer when special consideration may need to be applied for a candidate taking assessments.

### 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 site is not applicable, submits the required form to the awarding body to the prescribed timescale.
- Keeps required evidence on file to support the application.

## 8. Malpractice (JCQ qualifications)

### Head of Centre

- Understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, teachers, invigilators or other administrative staff.
- Is familiar with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures.*
- Is familiar with the JCQ publication *AI-Use-in-Assessments (Feb24).*

### Subject teacher

- Is aware of the JCQ *Notice to Centres - Teachers sharing assessment material and candidates' work.*
- Ensures candidates understand of the JCQ document *Information for candidates - non-examination assessments.*
- Ensures candidates understand the JCQ document *Information for candidates - Social Media.*
- Ensure candidates understand the JCQ publication *AI-Use-in-Assessments (Feb24).*

### 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 candidate's documents.
- Where required, supports the head of centre in investigating and reporting incidents of suspected malpractice.

## 9. Enquiries about results<sup>[SE6]</sup>

### Head of Centre

- Ensures the centre's internal appeals procedures detail the procedure to be followed by candidates or their parents/carers.
- The Deputy Headteacher will ensure the initial investigation is carried out within ten working days. The person responsible for coordinating the investigation will depend on the qualification being investigated. The investigation will involve establishing the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true. Where appropriate, the staff member concerned and any potential witnesses will be interviewed and their version of events recorded on paper.

### The member of staff will be:

- Informed in writing of the allegation made against him or her.
- Informed what evidence there is to support the allegation.
- Informed of the possible consequences, should malpractice be proven.
- Given the opportunity to consider their response to the allegations.
- Given the opportunity to submit a written statement.
- Given the opportunity to seek advice (as necessary) and to provide a supplementary statement (if required).
- Informed of the applicable appeals procedure, should a decision be made against him/her.
- Informed of the possibility that information relating to a serious case of malpractice will be shared with the relevant awarding body and may be shared with other awarding bodies, the regulators, the police and/or professional bodies.

If work is submitted for moderation/verification which is not the candidate's own work, the awarding body may not be able to give that candidate a result.

### Staff Malpractice Sanctions (This should be read in conjunction with schools conduct and disciplinary policies)

Where a member of staff is found guilty of malpractice, The King's School may impose the following sanctions:

- 1) **Written warning:** Issue the member of staff with a written warning stating that if the offence is repeated within a set period of time, further specified sanctions will be applied.
- 2) **Training:** Require the member of staff, as a condition of future involvement in both internal and external assessments, to undertake specific training or mentoring, within a particular period of time, including a review process at the end of the training.
- 3) **Special conditions:** Impose special conditions on the future involvement in assessments by the member of staff.
- 4) **Suspension:** Bar the member of staff from all involvement in the administration of assessments for a set period of time.

- 5) **Dismissal:** Should the degree of malpractice be deemed gross professional misconduct, the member of staff could face dismissal from his/her post.

## Appeals

The member of staff may appeal against sanctions imposed on them. Appeals will be conducted in line with the organisation's Appeals Policy and The King's School's conduct and disciplinary policies.

## Candidate Malpractice Policy

This part of the policy sets out to define the procedures to be followed in the event of any dispute or allegation regarding candidate malpractice in the assessment of internally marked qualifications (such as AOPE CoPE).

## Examples of Malpractice

Attempted or actual malpractice activity will not be tolerated. The following are examples of malpractice by candidates with regards to portfolio-based qualifications. This list is not exhaustive:

- Plagiarism: the copying and passing off as the candidate's own work, the whole or part of another person's work.
- Collusion: working collaboratively with other learners to produce work that is submitted as the candidate's only.
- The use of AI: Further guidance on identifying misuse of AI can be found in the following JCQ document: AI-Use-in-Assessments\_(Feb24).
- Failing to abide by the instructions of an assessor – this may refer to the use of resources which the candidate has been specifically told not to use.
- The alteration of any results document.

If a teacher suspects a candidate of malpractice, the candidate will be informed and the allegations will be explained. The candidate will have the opportunity to give their side of the story before any final decision is made. If the candidate accepts that malpractice has occurred, he/she will be given the opportunity to repeat the assignment. If found guilty of malpractice following an investigation, the teacher may decide to re-mark previous assignments and these could also be rejected if similar concerns are identified.

## Appeals

In the event that a malpractice decision is made, which the candidate feels is unfair, the candidate has the right to appeal in line with the Appeals Policy.

### 10. **Internal<sup>[SE7]</sup> Appeals process for NEA** (see separate procedure for ASDAN awards)

- Teachers will inform students, where possible, of the results in class at least 10 days before their marks are submitted to the awarding bodies.
- Students are permitted to see the mark sheets for their NEA.
- **Students<sup>[LT8]</sup>** have a period of up to 5 working days from the date of receiving their results to make an appeal.
- Students must write to the Examinations Officer indicating the grounds for their appeal.
- An appeal can only be made against the process that was used to produce the mark to be submitted to the relevant awarding body.
- No appeal against the actual mark can be accepted.
- Appeals will be investigated by the Headteacher or a person nominated by the Headteacher.

- On receipt of a written appeal, an enquiry will be conducted by the Deputy Headteacher (with responsibility for examinations), the Examinations Officer and a Head of Department who is not involved in the internal assessment decision.
- The school will ensure that those completing the review have the appropriate competence and are unbiased.
- This enquiry will consider whether the procedure used in the internal assessment conformed to the published requirements of the awarding body and the JCQ Code of Practice.
- The student will be informed in writing, of the outcome, within in 10 working days of their appeal.
- The centre will keep a written record of the appeal, including the outcome and reasons for the outcome.
- If the appeal results in a change in the initially awarded mark, the relevant exam board will be informed.