



Non Examination Assessment Policy

The King's School
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EX11 1RA

1. 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

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?

“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 non-examination assessment policy (NEA) is fit for purpose.
- Ensures the centre’s internal appeals procedures are followed in liaison with Deputy Head teacher which clearly detail the procedure candidates (or their parents/carers) appealing against an internal assessment decision. (See examinations policy 2.1).

Deputy Head (with responsibility for examinations)

- Is responsible for ensuring 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 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 Head teacher 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 Non Examined Assessment (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 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.
- 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 ensure that materials are stored securely at all times.
- Ensures requirements for legacy specification tasks and new specification tasks are distinguished between.
- 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 take it into account in the marking or submit 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 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.

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.
- 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.
- 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

4. 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.

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.

5. 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.

6. 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.

7. 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 is 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.
- Work 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.

8. 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
 - 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.

9. 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*

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*

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.

10. Enquiries about results

Head of Centre

- Ensures the centre's internal appeals procedures (See exam policy) detail the procedure to be followed by candidates (or their parents/carers) appealing against a centre decision not to support an enquiry about results request or not supporting an appeal following the outcome of an enquiry about results.

Subject head/ lead

- Provides relevant support to subject teachers making decisions about enquiries about 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 an enquiry about results 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 for 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 to deadline.
- Collects candidate consent.

11. Practical Skills Endorsement for the A Level Sciences

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 prescribed practical activities.

Head of Department

- Confirms understanding of the *Practical Skills Endorsement for the A Level Sciences designed for use in England*.
- Ensures a response is provided to JCQ indicating which awarding body the centre intends to use for its entries in A Level Biology, Chemistry and Physics (in Autumn 2016).
- Undertakes training provided by the awarding body on the implementation of the practical endorsement.
- Disseminates information to subject teachers ensuring the standards can be applied appropriately.
- Liaises with all relevant parties in relation to arrangements for and conduct of the monitoring visit.

Subject teacher

- Ensures all the requirements in relation to the endorsement are known and understood.
- Ensures the required arrangements for practical activities are in place.
- Provides all the required centre records.
- Ensures candidates provide the required records.
- Provides any required information to the subject lead regarding the monitoring visit.
- Assesses candidates using Common Practical Assessment Criteria (CPAC).
- Applies for an exemption where a candidate cannot access the practical endorsement due to a substantial impairment.
- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment outcome.

Exams Officer

- Follows the awarding body's instructions for the submission of candidates *Pass* or *Not Classified* assessment.

12. Spoken Language Endorsement for GCSE English Language specifications

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.

Deputy Head and the Examinations officer

- Ensures the appropriate arrangements are in place for internal standardisation of assessments.

Head of department

- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England*.
- 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.

13. Internal Moderation Policy – ASDAN courses

The aim of this section of the policy is to ensure that:

- Internal moderation practices are valid and reliable, cover all tutors/assessors and meet the requirements of the awarding organisation.
- The internal moderation procedures are fair and open and relevant to our staffing structure.
- Accurate and detailed records are kept of internal moderation decisions.

The King's School will:

- Ensure that all assessment activities are valid, appropriate and fit for purpose.

- Apply a strategy that will provide a representative sample across all tutor/assessors.
- Create a plan of internal moderation in relation to all assessment activities.
- Define, maintain and support effective internal moderation roles, including the provision of training where required.
- Use ASDAN approved standardised documentation to support internal moderation activity and record-keeping.
- Ensure that feedback and outcomes of internal and external moderation support future development of good practice and will be fed back to those delivering qualifications.
- Carry out an annual evaluation and review of internal moderation policy and procedures.

14. Internal appeals – ASDAN qualifications

Candidates are made aware of the existence of this policy and have open access to it. Students will be informed at the start of their course, by the course teacher. It can be found on the school website and intranet, along with the appeals policies for each of the awarding bodies used by The King's school. The students will be made aware of this policy at the start of their course.

All tutors are made aware of these policies and how to access them in order that candidates can be supported.

This policy is reviewed annually and may be amended in response to feedback from candidates, staff, parents and external organisations.

If any candidate wishes to appeal a decision, they should follow the following procedure:

- If possible, speak to the member of staff responsible for teaching the qualification in the first instance about the reason they wish to appeal.
- The member of staff has a responsibility to explain to the candidate why he/she received the given result.
- The candidate is not satisfied with the explanation; the piece of work will be re-marked by another member of staff also involved with that qualification.
- The candidate will be informed of the outcome of the re-marking by letter.
- If the candidate wants to continue the appeal, he/she needs to contact the Exams Officer, who will provide the candidate with information about the appeals procedure for the relevant awarding body and explain what is involved. The Exams Officer will assist with the completion of any forms and will correspond with the awarding body on behalf of the candidate.
- All candidates will have the support of the centre to be able to appeal against a result.

15. Malpractice in ASDAN qualifications

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

Attempted or actual malpractice activity will not be tolerated.

The following are examples of malpractice by staff with regards to portfolio-based qualifications. This list is not exhaustive:

- Tampering with candidates work prior to external moderation/verification.
- Assisting candidates with the production of work outside of the awarding body guidance.
- Fabricating assessment and/or internal verification records or authentication statements.

Staff Malpractice Procedure

Investigations into allegations will be coordinated by the Deputy Head teacher who line manages the examination officer who 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 in 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 organisations Appeals Policy and The King's School 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
- 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. (See examinations policy)