



# Non-Examination Assessment (or controlled assessment) Policy

Policy Ref: TMP35v2

This policy will not discriminate either directly or indirectly against any individual on grounds of sex, race, ethnicity or national origin, gender, sexual orientation, marital status, religion or belief, age, disability, socioeconomic status, offending background or any other personal characteristic.

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**Signed**

**Date** Nov 2020

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**Date** Nov 2020

## Record of Changes

Version	Issue Date	Changes	Initials
v1	July 2019	Initial issue	JM
v2	Nov 2020	General procedural review, references updated, formatting changes	JM

**Date of Next Review:** July 2021

## Definition

Throughout this policy document **TMP Studios CIC** is referred to as 'TMP College'.

**Non-examination assessment** is a form of internal assessment for reformed GCSE qualifications where it is the only valid means of assessing essential knowledge and skills that cannot be tested by timed written papers. Non-examination assessment applies control over internal assessment at three points:

- Task setting,
- Task taking,
- Task marking.

## Responsibilities

### A. Head of Centre

- To establish and sustain an efficient exam system with clear guidelines for all users.
- To be familiar with Joint Council for Qualifications (JCQ) instructions for conducting non-examination assessment<sup>1</sup>.
- To be responsible to relevant GCSE awarding bodies to ensure that all non-examination assessments are conducted according to qualification specifications.

### B. Examinations Officer

- To be familiar with JCQ instructions for conducting non-examination assessment and other related JCQ documents.
- To be familiar with general instructions relating to non-examination assessment from each relevant GCSE awarding body.
- In collaboration with Subject tutors, to submit non-examination assessment marks to the relevant awarding body.
- In collaboration with Subject tutors, dispatch students' assessments for moderation.
- In collaboration with Subject tutors, make appropriate arrangements for the security of non-examination assessment materials.

### C. Heads of Department and Subject Leaders

- To be familiar with JCQ instructions for conducting non-examination assessment
- To understand and comply with specific instructions relating to non-examination assessment for the relevant GCSE awarding body.
- To ensure that individual tutors understand their responsibilities with regard to non-examination assessment.

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<sup>1</sup> <https://www.jcq.org.uk/exams-office/non-examination-assessments/>

#### C. Heads of Department and Subject Leaders (cont.)

- To ensure that they use the correct task for the year of submission and take care to distinguish between tasks and requirements for legacy and new specifications.
- To obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- To undertake appropriate departmental standardisation of non-examination assessments
- In collaboration with the Examinations Officer, to submit non-examination assessment marks to the relevant awarding body.
- In collaboration with the Examinations Officer dispatch students' assessments for moderation.
- In collaboration with the Examinations Officer, make appropriate arrangements for the security of non-examination assessment materials

#### D. SENCO

- To be familiar with JCQ instructions for conducting non-examination assessment with reference to special access arrangements
- In collaboration with the Examinations Officer Co-ordinate requests for special access arrangements

#### E. Subject Tutors

- To supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specifications allow.
- To ensure that students and supervising teacher(s) sign authentication forms on completion of an assessment.
- To mark internally assessed components using the mark schemes provided by the awarding body. Via the subject leader, submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded. (Where assessments are marked internally tutors may disclose marks to candidates provided that it is made clear that the moderation process may result in changes to marks. They should NOT attempt to convert marks to grades in advance of the publication of results.)
- To take part in appropriate departmental standardisation of Controlled Assessments
- To retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, to retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- To ask the special educational needs coordinator (SENCO) and the Examinations Officer for any assistance required for the administration and management of access arrangements.

## **Task Setting**

In accordance with specific GCSE awarding body guidelines, Subject Learning Leaders will be responsible for the selection of non-examination assessment tasks from an approved list or for setting appropriate centre specific tasks.

Subject Tutors will ensure that students understand the assessment criteria for any given assessment task.

## **Issuing of Tasks**

The 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

## **Task taking**

### Supervision

The 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
- 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
- Ensures candidates understand and comply with the regulations in relevant JCQ documents Information for candidates

### Advice and feedback

The 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

## Resources

The 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.

## Word and time limits

The subject teacher:

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

## Collaboration and group work

The 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

The 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

The 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

The 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 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 Managers:

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

### **Task marking – externally assessed components**

#### Conduct of externally assessed work

The subject teacher:

- Liaises with the exams 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

The 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

The subject teacher:

- Provides the attendance register to a Visiting Examiner

6.4 The 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

The 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

The Head of Department or Subject Leader

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

The subject teacher:

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

### Consortium arrangements

The Head of Department or Subject Leader

- Ensures a consortium co-ordinator is nominated (where this may be required as the consortium lead)
- Liaises with the exams officer to ensure form JCQ/CCA is submitted to the awarding body for each exam series affected
- Ensures procedures for internal standardisation as a consortium are followed

The subject teacher:

- Provides marks to the exams officer to the internal deadline
- Provides the moderation sample to the exams officer to the internal deadline

The Exams Officer:

- Arranges completion of form JCQ/CCA Centre consortium arrangements for centre - assessed work
- Submits form JCQ/CCA to the deadline for each exam series affected
- Submits marks to the awarding body deadline
- Where relevant, liaises with other consortium exams officers to arrange despatch of a single moderation sample to the awarding body deadline
- Where relevant (as the consortium lead), retains all candidates' work in the consortium until after the deadline for enquiries about results for the exam series

### Submission of marks and work for moderation

The subject teacher:

- Inputs and submits marks online via the awarding body secure extranet site, 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

The 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/Confirms with subject tutors that marks have been submitted to the awarding body 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
- 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

#### **Storage and retention of work after submission of marks**

The 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.)

The Exams Officer:

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

## **External moderation - feedback**

Head of Department/Subject Leader:

- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next examination series

The Exams Officer:

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

## **Access arrangements**

The subject teacher:

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

The SENCO:

- Follows the regulations and guidance in the JCQ publication Access Arrangements and Reasonable Adjustments
- 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, where required, has been obtained prior to assessments taking place
- Makes subject tutors aware of any access arrangements for eligible candidates which need to be applied to assessments
- Works with subject tutors 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

## **Special consideration**

The subject teacher:

- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate
  - is absent
  - 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

The 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

## Malpractice

The Head of Centre:

- Understands the responsibility to report to the relevant awarding body any suspected cases of malpractice involving candidates, tutors, invigilators or other administrative staff
- Is familiar with the JCQ *publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures*<sup>2</sup>

The subject teacher:

- Is aware of the JCQ Notice to Centres - *Tutors sharing assessment material and candidates' work*<sup>3</sup>
- Ensures candidates understand the JCQ document *Information for candidates - non-examination assessments*<sup>4</sup>
- Ensures candidates understand the JCQ document *Information for candidates - Social Media*<sup>5</sup>

The Exams Officer:

- Signposts the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* to the Head of Centre.<sup>6</sup>
- Signposts the JCQ Notice to Centres - *Tutors sharing assessment material and candidates' work* to subject heads<sup>7</sup>

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<sup>2</sup> <https://www.jcq.org.uk/exams-office/malpractice/>

<sup>3</sup> <https://www.jcq.org.uk/exams-office/non-examination-assessments/notice-to-centres-sharing-nea-material-and-candidates-work/>

<sup>4</sup> <https://jqc.org.uk/wp-content/uploads/2020/01/Information-for-candidates-NEA-1920.pdf>

<sup>5</sup> <https://jqc.org.uk/wp-content/uploads/2020/01/JCQ-Social-Media-.pdf>

<sup>6</sup> <https://www.jcq.org.uk/exams-office/malpractice/>

<sup>7</sup> <https://www.jcq.org.uk/exams-office/non-examination-assessments/notice-to-centres-sharing-nea-material-and-candidates-work/>

- Signposts candidates to the relevant JCQ information for candidates documents
- Where required, supports the Head of Centre in investigating and reporting incidents of suspected malpractice

### **Enquiries about results**

The Head of Centre:

- Ensures the centre's internal appeals procedures clearly 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

The Head of Department/Subject Leader:

- Provides relevant support to subject tutors making decisions about enquiries about results

The 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

The 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 where required

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

The 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

The Quality assurance (QA) lead/Lead internal verifier

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

The Head of Department/Subject Leader:

- 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 tutors
- Ensures subject tutors 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

The 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

The Exams Officer:

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