



# Thomas Telford University Technical College

## Non-Examination Assessment (NEA) Policy

TTUTC is committed to the safe and secure conduct of non-examination assessment (NEAs) in the best interests of students and with clear guidelines for all relevant staff. This policy relates to the reformed GCE and GCSE qualifications which have been accredited and which include a proportion of non-examination assessment.

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Comments	This appendix elaborates on elements referred to within the Examinations Policy.		
Monitoring, Evaluation and Review	The Examinations Manager will review this document at least every 2 years and as required by changes to JCQ and exam board regulations.		

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#### 1. Purpose

- 1.1.** All NEAs will comply with JCQ guidelines contained in the document 'Instructions for Conducting Non-Examination assessments (new GCE and GCSE specifications) available from JCQ, the Examinations Manager or the hyperlink at the bottom of this document.
- 1.2.** All NEAs will also adhere to awarding bodies' subject-specific guidelines.
- 1.3.** Every candidate will be given a copy of the relevant JCQ 'Notice to Candidates' before undertaking his/her first NEA. This notice is also posted outside the Examinations Office and in the examinations section of the UTC website.

- 1.4. As far as is possible the Principal will ensure that NEAs are spread throughout the duration of KS4 and KS5 in the interests of candidates' workload and resource management, especially with regard to the use of ICT facilities.
- 1.5. The UTC will ensure that access arrangements and special consideration guidelines are adhered to in relation to NEAs as they are with regard to formal written examinations

## **2. Guidelines for subject leaders**

### **2.1. Subject Leaders will:**

- 2.1.1. Decide on the specification to be followed, in consultation with other teachers in the department and the Principal.
- 2.1.2. Ensure there is sufficient supervision of every candidate to enable work to be authenticated and that the work an individual candidate submits for assessment is his/her own. Work may be completed outside of the centre without direct supervision, provided that the centre is confident that the work produced is the candidate's own.
- 2.1.3. Ensure that they and individual teachers for whom they have responsibility are aware of and comply with all relevant guidelines from JCQ and awarding bodies.
- 2.1.4. Ensure that at least 40% of overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certificated.
- 2.1.5. Standardise the marking of all teachers involved in assessing an internally assessed component.
- 2.1.6. Where appropriate develop new assessment tasks or contextualise sample assessment tasks to meet local conditions.
- 2.1.7. Supply to the Examinations Officer in good time all requested details concerning unit codes, entries and marks
- 2.1.8. 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
- 2.1.9. Ensure that students and supervising teachers sign authentication forms on completion of the assessment
- 2.1.10. Monitor the completion and marking of NEAs by subject teachers within their area of responsibility and to ensure that the internal standardisation of marks across assessors and teaching groups takes place. Keep a record of names and candidate numbers for candidates whose work was included in the sample. This information may be needed if a review of moderation is made.
- 2.1.11. Post completion retain candidates' work securely in a locked store or cupboard (for hard copies) or on a secure area of the college network which is subject to regular back-up for electronic copies until after the closing date for enquiries about results. If such an enquiry is submitted, retain candidates' work securely until the outcome of that enquiry and any subsequent appeal has been conveyed to the centre.

## **3. Guidelines for Teaching Staff**

### **3.1. Teaching Staff will:**

- 3.1.1. Understand and comply with the general guidelines contained in the JCQ publication 'Instructions for NEAs.

- 3.1.2.** Understand and comply with the awarding body's subject specific requirements for NEAs, taking into account that if teachers give any assistance which goes beyond general advice, for example providing detailed specific advice on how to improve drafts to meet the assessment criteria; giving detailed feedback on errors and omissions which limits a candidates' opportunities to show initiative themselves; or intervenes personally to improve the presentation or content of work then they must record this assistance and either take it into account when marking the work or submit it to the external examiner. Annotation should be used to explain how marks were applied in the context of the additional assistance given. Teachers must not provisionally assess work and then allow the candidate to revise it. Assistance must not be given if there is no means to record it and to take account of it in the marking.
- 3.1.3.** Consult the relevant awarding body's specification to obtain the date for the issuing of tasks, taking care to distinguish between requirements/tasks for legacy specifications and requirements/tasks for new specifications.
- 3.1.4.** Supervise assessments at the specified level of control and undertake the tasks required under the regulations only permitting assistance to candidates as the specification allows. Ensure that candidates understand that information from published sources must be referenced; receive guidance on setting out references; and are aware that they must not plagiarise other material. Teaching staff should advise candidates on aspects such as sources of information; relevance of materials/concepts; structure of the responses; techniques of data collection and data presentation; skills of analysis and evaluation; health and safety considerations including the use of equipment; potential ethical considerations and security of their work. Teachers must not provide model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings).
- 3.1.5.** Ensure that they and their candidates sign authentication forms on completion of an assessment confirming that the work is solely that of the candidate concerned; that the work was completed under the required conditions. All signed declarations must be kept on file. Teachers must be sufficiently familiar with the candidate's general standard to judge whether the piece of work submitted is within his/her capabilities. If teachers are unable to confirm that the work presented by a candidate is his/hew own and has been completed under the required conditions, they must not accept the candidate's work for assessment and must record a mark of zero for internally assessed work.
- 3.1.6.** Mark internally assessed components within a reasonable period of time following completion using the mark scheme provided by the awarding body and submit marks when required to the Examinations Office, keeping a record of the marks awarded. Teacher annotation should be used to provide evidence to indicate **how** and **why** marks have been awarded to facilitate the standardisation of marking within the centre, and to enable the moderator to check that marking is in line with the assessment criteria.
- 3.1.7.** Retain candidates' work securely between assessment sessions where more than one such session is required.
- 3.1.8.** Ensure all staff involved in the delivery of the Practical Skills Endorsement for the A Level Sciences are familiar with the requirements. Ensure new teaching staff undertake the training provided by the awarding body on the implementation of the practical endorsement. Lead teachers must ensure that all other teachers of that science within the centre can apply the standards appropriately. All teaching staff to be aware that there is no separate assessment of

practical skills for AS Biology, Chemistry, Geology and Physics qualifications. Teaching staff to be fully aware that the endorsement will not contribute to the A level grade; that no marks will be assigned (reported only as Pass or Not Classified); that it is assessed on a “competency” basis using agreed Common Practical Assessment Criteria (CPAC) and that candidates must consistently and routinely meet all of the criteria to be awarded a Pass at the end of the course. Teaching staff to be aware that there will be a monitoring visit to Thomas Telford UTC which will focus on checking that teachers are implementing the requirements of the practical endorsement appropriately and applying the assessment criteria correctly.

- 3.1.9.** That teachers involved in the assessment of a component mark to common standards.
- 3.1.10.** Where candidates work in groups, the teacher should keep a record of each candidate’s contribution. The specification may place a restriction on the maximum size of the groups. It must be possible to attribute assessable outcomes to individual candidates. Where an assignment requires written work to be produced, each candidate must write up his/her own account of the assignment. It is acceptable for all members of the group to record the same data. However, each candidate must use his/her own words to describe how the data was obtained and draw his/her own conclusions. Where an artefact or a performance is required, candidates may collaborate, but their responses must be their own and their individual contributions must be clearly identified. The contribution of each individual candidate must be clear from both the work itself and, if applicable, the record forms.
- 3.1.11.** Ensure that candidates understand what they need to do to comply with the regulations for NEAs, in particular tutors must ensure that candidates understand that information from published sources must be referenced; receive guidance on setting out references; and are aware that they must not plagiarise other material.
- 3.1.12.** Review candidates’ work and provide oral and written advice at a **general** level; and after having provided advice at a general level, allow candidates to revise and re-draft work.
- 3.1.13.** Ensure that the work to be assessed and all preparatory work is stored securely at the end of each session and not accessible to the candidate. Where work is stored in hard copy format, secure storage is defined as a securely locked cabinet or cupboard. Where candidates are producing artefacts (e.g. Art and Design) secure storage may be defined as a classroom, studio or workshop which is locked or supervised from the end of one session to the start of the next. Where work is stored electronically, Thomas Telford UTC will be required to restrict access to this material and to utilise appropriate security safeguards such as firewall protection and virus scanning software. An effective back-up strategy must be employed so that an up-to-date archive of candidates’ evidence is maintained. Thomas Telford UTC will also consider encrypting any sensitive digital media to ensure the security of the data stored within it.
- 3.1.14.** To provide a clear deadline for candidates to submit a request for a review of the centre’s marking. Requests will not be accepted after this deadline. Requests must be made in writing and candidates must explain on what grounds they wish to request a review.
- 3.1.15.** Thomas Telford UTC will allow a sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body’s deadline for the submission of marks.
- 3.1.16.** Thomas Telford UTC will ensure that the review of marking is conducted by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate for the component in question and has no personal interest in the outcome of the review.

#### **4. Guidelines for SENCO**

##### **4.1. The SENCO will:**

- 4.1.1.** Ensure access arrangements have been applied for where necessary. In principle, if a candidate has an access arrangement as part of his/her normal way of working within the centre and meets the published criteria for the arrangements, then it will normally be permitted for written examinations and non-examination assessments. Information on the application of access arrangements in the Practical Skills Endorsement of a GCE A Level Biology, Chemistry, Geology and/or Physics specification may be found on the JCQ website under "Reasonable Adjustments for GCSE- A Level Sciences.
- 4.1.2.** Work with teaching staff to ensure requirements for support staff are met
- 4.1.3.** Liaise with teaching staff and the Examinations Officer to ensure appropriate accommodation and facilities are available for access arrangement candidates.
- 4.1.4.** The SENCO must ensure that all relevant staff are aware of any access arrangements which need to be applied for non-examination assessments.

#### **5. Guidelines for Examinations Office Staff**

##### **5.1. Examinations Office Staff will:**

- 5.1.1.** Enter candidates for individual units as requested by teaching staff before the entry deadline.
- 5.1.2.** Enter candidates' 'cash-in' codes for the terminal examination series where applicable.
- 5.1.3.** Be responsible for the receipt, safe storage and transmission to teaching staff of confidential materials received directly by the Examinations Office.
- 5.1.4.** Download and distribute marksheets as required and collect and send completed marksheets to awarding bodies before deadlines.
- 5.1.5.** Assist departments to find suitable accommodation for controlled assessments.
- 5.1.6.** Ensure there is sufficient supervision of every candidate to enable work to be authenticated

#### **6. Guidelines for Candidates**

- 6.1** Candidates should be aware of the criteria used to assess their work and it is therefore permissible to give them a copy of the marking criteria.
- 6.2** Candidates must keep a record of their practical work, including their assessed practical activities and the dates. Practical experiences could include lab books (allowing all records to be kept in one place); candidates' folders; computer-based systems; pre-printed workbooks.
- 6.2** Work may be completed outside of the centre without direct supervision, provided that the centre is confident that the work produced is the candidate's own. Candidates may normally have unlimited access to electronic and printed resources; use the internet without restriction; work in groups.

#### **7. DfE Guidance and other documentation** has been used to create this document. The specific guidance documents include:

- [JCQ General Regulations for Approved Centres](#)
- [JCQ Instructions for conducting non-examination assessments \(new GCE & GCSE specifications\)](#)

## 8. Risk Management Process

Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Plan dates in consultation with school calendar – negotiate with other parties	SLT/Subject Leaders
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates some time between assessments	HoF/Subject Leaders
<b>Accommodation</b>			
Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment	Use more than one classroom or multiple sittings where necessary	Subject Leaders/ Room bookings co-ordinator/LS
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Subject Leaders/IT dept/Room bookings co-ordinator/LS

Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Downloading awarding body set tasks</b>			
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	Subject Leaders/IT Dept/DN
Teaching staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time	Subject Leaders/DN
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Subject Leaders
Validity of assessment	Check task validity date	Ensure task is still valid for year of entry of unit	Subject Leaders
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Subject Leaders
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes  N.B. retakes of controlled assessment are limited	Subject Leaders/DN

Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Control levels for task taking</b>			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	Subject Leaders/ Teaching Staff/DN
<b>Supervision</b>			
Student study diary/plan not provided or completed*	Ensure teaching staff/assessors are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session	Subject Leaders /Teaching staff
Teaching staff/assessors do not understand supervision of NEA is their responsibility	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision		SLT/HoF/Subject Leaders/Teaching staff
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are <b>not</b> supervising	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.		HoF/Subject leaders/Cover supervisor

Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Task setting</b>			
Teaching staff/assessors fail to correctly set tasks	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification**	Seek guidance from the awarding body	Subject leaders/DN
Assessments have not been moderated as required in the awarding body specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Subject Leaders
<b>Security of materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	HoF/Subject Leaders
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary	Take materials to secure storage	HoF/Subject Leaders
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	HoF/Subject Leaders

Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Deadlines</b>			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines/penalties for not meeting them	Mark what candidates have produced by deadline and seek guidance from awarding body on further action.	Subject leaders/ Teaching staff/DN
Deadlines for marking and/or paperwork not met by teaching staff/ assessors	Ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so the exams office can process and send off marks ahead of AB deadlines	Seek guidance from awarding body	HoF/Subject Leaders/DN
<b>Authentication</b>			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed	Subject Leaders/Teaching staff
Teaching staff/assessors fail to complete authentication forms or leave before completing authentication	Ensure teaching staff/assessors understand importance of authentication forms and the requirement of a signature	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season	Subject Leaders/Teaching staff

Risks and issues	Remedial action		Staff
	Forward planning	Action	
<b>Marking</b>			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding body specification for appropriate procedure	HoF/Subject Leaders/Teaching staff
Centre does not run standardisation activity as required by the awarding body	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardisation event can be arranged.	HoF/Subject Leaders

## 9. NEA Review Procedure (in accordance with JCQ recommendations)

Thomas Telford UTC is committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the awarding bodies specifications and subject specific associated documents.

The following process will be followed by all departments to ensure that the requisite marking review process is made possible:

### 9.1 The UTC will:

- 9.1.1 ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
- 9.1.2 inform candidates that they may request copies of materials to assist them in considering whether to request a review of the centre's marking of the assessment.
- 9.1.3 having received a request for copies of materials, promptly make them available to the candidate. This will either be the originals viewed under supervised conditions or copies
- 9.1.4 To provide candidates with sufficient time, normally at least five working days, to allow them to review copies of materials and reach a decision.
- 9.1.5 requests for reviews of marking **must** be made by e-mail and must be sent to the internal assessor and the relevant Head of Department. Such requests **must** include an explanation of why a request for review is being made. This should refer to relevant mark schemes and the merits of the submitted work and should not refer to any other candidates' work or extraneous circumstances.
- 9.1.6 Once a request for a review of marking has been made in the first instance, the candidate will meet with the staff assessor who will explain the reasons for the mark awarded in relation to the examination board's assessment criteria/mark scheme. It is hoped that at this stage the candidate will reach a clearer understanding of the mark awarded, in which case the review process will proceed no further. This meeting will be held within five school days of the initial email requesting review.
- 9.1.7 If at this stage the candidate still feels that their work merits external review, they then have a further five school days to send an e-mail confirming that they wish an external review to be conducted. At this point the Head of Department will act to ensure that review of marking is carried out by an assessor who has appropriate

competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.

- 9.1.8** Thomas Telford UTC will then instruct the review to ensure that the candidate's mark is consistent with the standard set by the centre
- 9.1.9** the candidate will be informed in writing of the outcome of the review of the centre's marking
- 9.1.10** The outcome of the review of the centre's marking will be made known to the head of centre. A written report of the review will be kept and made available to the awarding body upon request. The centre will inform the awarding body if it does not accept the outcome of a review. Any moderation carried out by the awarding body may result in a mark change, either upwards or downwards, even after an internal review. The internal review process is in place to ensure consistency of marking within the centre, whereas moderation by the awarding body ensure that the centre marking is in line with national standards. The mark submitted to the awarding body is subject to change and should therefore be considered provisional.