

Non-Exam Assessment Policy

Outlining staff responsibilities

The purpose of the editable example document that follows is to help exams office staff identify their responsibilities in planning and managing non-exam assessment alongside other colleagues. It shows how responsibilities within GCSEs might be allocated to colleagues such as teachers, assessors and the senior leadership team.

Using the example document

Centres and consortia may choose to divide responsibilities in the ways suggested here. Equally, they may find an entirely different way of working that is more appropriate for their needs. What is important is that there is a timely and appropriate allocation of responsibilities.

Centres and consortia adapting this example document for their own requirements should ensure that new versions are reviewed and approved by appropriate members of the senior leadership team to ensure they are fit for purpose and compatible with the existing policies and procedures of a centre or consortium.

Outlining staff responsibilities – GCSE non-exam assessment

Head of Centre

- Ensures that this policy is fit for purpose.
- Ensures the centre's internal appeals procedures clearly detail the procedure to be followed by candidates (or their parents/carers) appealing against internally assessed marks

Senior Leadership Team

- Accountable for the safe and secure conduct of non-exam assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with heads of department/subject to schedule non-exam assessments. (It is advisable that non-exam assessments be spread throughout the academic years of Key Stage 4.)

- Map overall resource management requirements for the year. As part of this resolve:
 - clashes/ problems over the timing or operation of non-exam assessments
 - Issues arising from the need for particular facilities (rooms, IT networks, time out of school, etc.).
- Ensure that all staff involved have a calendar of events.
- Create, publish and update an internal appeals policy for non-exam assessments.
- Ensure any allegations of malpractice are dealt with in accordance with JCQ Suspected Malpractice in Examinations and Assessments.

Heads of Department/Faculty

- Ensure that at least 40 per cent of overall assessment (non-exam and/or external assessment) is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirement in accordance with the awarding body specification. (GCSE Welsh 2nd Language requires at least 75% as the terminal rule)
- Supply to the exams office details of all unit codes for non-exam assessments.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to non-exam assessment.
- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject-specific instructions.
- Where appropriate, develop new assessment tasks or contextualise sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.
- Ensure the sample requested by the awarding body is processed correctly and posted requesting 'proof of posting' or uploaded onto the secure site as requested.

Teaching Staff

- Understand and comply with the general guidelines contained in the current JCQ publication *Instructions for conducting non-exam assessments*.
- Understand and comply with the awarding body specification for conducting non-exam assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- 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.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.

- Ensure that students and supervising teachers sign authentication forms on completion of an assessment as required.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the awarding bodies secure website when required, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, 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.
- Ask the appropriate additional learning needs coordinator (ALNCO) for any assistance required for the administration and management of access arrangements.

Exams Office Staff

- Enter students for individual units, whether assessed by non-exam assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- Where confidential materials are directly received by the exams office, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Ensure teaching staff have secondary accounts for the awarding bodies secure website and access to input assessment marks.
- On the few occasions where non-exam assessment cannot be conducted in the classroom arrange suitable accommodation where non-exam assessment can be carried out, at the direction of the senior leadership team.

Additional learning needs coordinator

- Ensure access arrangements have been applied for.
- Ensure that staff are informed of candidates with access arrangements at the start of the course, allowing arrangements to be made in class and in non-exam assessments.

For use by exams office staff

Non-exam assessment

Risk management process (editable template)

This editable template examines potential risks and issues relating to the implementation of non-exam assessment for and how these might be managed and mitigated through forward planning and remedial actions.

Using the risk management process template

The list of possible risks and issues featured in this template is purely illustrative for individual centres or consortia to consider and adapt to their own needs and there are blank rows under each heading for you to fill in.

A blank column entitled 'Staff' has been included on the template, so centres/consortia can list the person (or role):

- Responsible for the risk/issue
- Accountable for the risk/issue
- who should be Consulted about this risk/issue
- who should be informed should the risk/issue arise.

In the template the above is referred to as RACI.

Any adapted list of risks and issues should be reviewed and approved by appropriate members of the senior leadership team to ensure that it is fit for purpose and compatible with the existing policies and procedures of the centre or consortium. The review should be repeated at regular intervals and kept up to date.

Risk management process

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
Timetabling			
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	Rachel Reed
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	Stuart Moyse
Accommodation			
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 non-exam assessment	Use more than one classroom or multiple sittings where necessary	Stuart Moyse
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/centre facilities		Stuart Moyse

Risk management process

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
Downloading awarding body set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	Steve Norman
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	Steve Norman
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Steve Norman
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Class Teacher / Steve Norman
Candidates have a scheduling clash for exams or assessment (possibly off-site 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 Please note: retakes of non-exam assessment are limited	HOD / Steve Norman

Risk management process

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
Control levels for task taking			
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	Stuart Moyse
Supervision			
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	Steve Norman/SLT
Teaching staff/assessors do not understand supervision of non-exam assessment is their responsibility	Ensure teaching staff/assessors understand nature of non-exam assessments and their role in supervision		Steve Norman
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are not supervising	A suitable supervisor must be arranged for any non-exam assessment where a teacher/assessor is not supervising, in line with the awarding body specification		Steve Norman

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- * Not all non-exam assessment, will require the completion of a study diary or study plans.

Risk management process

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
Task setting			
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	HOD/SLT
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	HOD/SLT
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	Steve Norman
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	Steve Norman
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Steve Norman/IT Dept

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- * All tasks, whether set by the awarding body or the centre/consortium, must be developed in line with the requirements of the specification.

Risk management process

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
Deadlines			
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	Class Teacher/ HOD/ Steve Norman
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 awarding body deadlines	Seek guidance from awarding body	Steve Norman/SLT
Authentication			
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	Class Teacher / Steve Norman
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	Class Teacher / Steve Norman

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Risk management process

Example risks and issues	Possible remedial action		Staff (use 'RACI' to determine who should be listed)
	Forward planning	Action	
Marking			
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	HOD/SLT
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	SLT

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