



Non-Examination Assessment Policy

ABOUT THIS DOCUMENT:

Purpose:

This policy includes a written statement of the roles and responsibilities of Creating Tomorrow College's Governors, Director of College and other key staff.

This policy outlines how Creating Tomorrow College manages the process for non-examination assessment to ensure the process is rigorous and transparent.

Compiled by Gareth Ivett, January 2021

Agreed by Governors

SIGNED

DATE

Review Date January 2023

Wellbeing in our Trust

Managing assessment and examinations can be challenging and so this document aims to set out procedures to be followed to minimize what can be difficult process.

We are all affected by poor physical and mental health at times during our lives and it is important the appropriate support is available in a timely manner.

Health and wellbeing is everyone's responsibility and we encourage an open and honest culture whereby anyone can discuss any issues they may have.

The Trustees of Creating Tomorrow take the health and wellbeing of all employees seriously and are committed to supporting our staff. The Trustees ensure that support for staff is available through:

- Effective line management
- Commitment to reducing workload
- Supportive and professional working environments
- Employee support programs
 - Health Assured (confidential counselling support available through Perkbox account).
 - The Staff Support Line telephone number 08000 562561 or website www.staffsupport.info

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1. Aims

This policy aims to:

- Ensure the College uses Controlled Assessment criteria to maximise candidates' achievements.
- Cover procedures for planning and managing non-examination assessments in line with Awarding Bodies' requirements
- Define staff roles and responsibilities with respect to non-examination assessments
- Manage risks associated with non-examination assessments
- Ensure consistent application of Controlled Assessments for all subjects across the College in line with the Awarding Bodies' requirements.

2. Legislation

The Joint Council for Qualifications (JCQ) requires each exam centre to have a non-examination assessment policy. This is outlined in the [JCQ's instructions for conducting non-examination assessments](#), which we refer to when carrying out non-examination assessments in our College.

This policy also takes into account the [JCQ's guidance on post-results services](#) and [general regulations for approved centres](#).

This policy also complies with our funding agreement and articles of association.

3. Definition

The JCQ explains that 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. The rules often vary across subjects. The stages are task setting, task taking and task marking.

4. Roles and responsibilities

This section sets out the key responsibilities of staff in relation to non-examination assessments. For more detailed guidance on the requirements for conducting non-examination assessments, staff should read the JCQ guidance referred to above.

4.1 Head of Centre

In our College, the head of centre is Carole Wilson-Frizzell (Director of College)

The head of centre is responsible for:

- Ensuring that the centre's non-examination assessment policy is fit for purpose
- Ensuring that non-examination assessments comply with JCQ guidance and awarding body subject-specific instructions

4.2 Senior Leaders

Senior leaders are responsible for:

- Ensuring that non-examination assessments comply with JCQ guidance and awarding body subject-specific instructions
- Mapping overall resource management requirements for the year. As part of this, resolve:
 - Clashes/ problems over the timing or operation of Controlled Assessments.
 - Issues arising from the need for particular facilities (rooms, IT networks, time out of College etc.)
- Ensuring that all staff involved have a calendar of events.
- Ensuring that [JCQ's information for candidates](#) is distributed to all candidates prior to assessments taking place
- Ensuring the centre's internal appeals procedure clearly details the procedure to be followed by candidates (or their parents/carers) appealing against an internal assessment decision, and that details of this procedure are communicated and made widely available and accessible
- Drawing to the attention of candidates and their parents/carers the centre's complaints procedure, for general complaints about the centre's delivery or administration of a qualification

4.3 Director of College and Tutor

The Director of College and Tutor are responsible for:

- Deciding the Awarding Body and specification for a particular qualification.
- Providing the necessary requirements for Controlled Assessments to Senior Leadership Team, including preferred dates and room requirements.
- Familiarising themselves with JCQ instructions for conducting non-examination assessment
- Understanding and complying with specific instructions relating to non-examination assessment for the relevant awarding body
- Ensuring that all staff understand their responsibilities with regard to non-examination assessment, including retaining candidates' work securely between assessment sessions
- Ensuring that tutors use the correct task for the year of submission and take care to distinguish between tasks and requirements for legacy and new specifications, where relevant
- Where appropriate, developing new assessment tasks or contextualise sample Awarding Body's assessment tasks to meet local circumstances, in line with Awarding Body's specifications and control requirements.
- Asking the Special Educational Needs Coordinator (SENCO) for any assistance required for the administration and management of access arrangements.
- Making provisions for any candidate who is absent for the original Controlled Assessment or misses vital preparation for it, to complete the necessary work at another suitable time.
- Ensuring individual staff follow standardised schemes of work across the department.
- Ensuring that staff mark the work in accordance with the correct mark schemes for the task.
- Standardising internally the marking of all staff involved in assessing an internally assessed component.

- Ensuring that marks are submitted to the examinations office by the published deadlines so that they can be sent to the Awarding Body when required.
- Post-completion retaining 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.
- Obtaining confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s), where relevant, and ensuring that such materials are stored securely at all times

4.4 Tutors and staff

Tutors and staff are responsible for:

- Understanding and complying with JCQ instructions for conducting non-examination assessment
- Understanding and complying with the awarding body's specification, where provided, for conducting non-examination assessments, including any subject-specific instructions, staffs' notes or additional information on the awarding body's website
- Prepare the candidates for Controlled Assessments through quality Learning and Teaching and provide feedback to candidates.
- Follow the prescribed schemes of work within the department and be mindful of the assessment objectives for the unit to ensure equality of opportunity for candidates in all classes.
- Check that all candidates' notes to be used in the final Controlled Assessment are acceptable and meet the regulations of the Awarding Body.
- 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 the assessments at the specified level of control. Undertake the tasks required under the regulations, only permitting assistance to candidates as the specification allows.
- Ensure that candidates and supervising staffs sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the Awarding Body.
- Take part in moderating the marking of the assessments to ensure standardisation across the subject.

4.5 Exams officer

The exams officer is responsible for:

- Supporting the administration/management of non-examination assessment

4.7 Examinations office staff

- Enter candidates in line with the Examinations Policy.
- Where confidential materials are directly received by the examinations office, to be responsible for receipt, safe storage and safe transmission.
- On the occasions where Controlled Assessment cannot be conducted in the classroom, arrange suitable accommodation where Controlled Assessment can be carried out, at the direction of the Senior Leadership Team. Conduct those Controlled Assessments under external examination conditions.

4.8 Special educational needs co-ordinator (SENCO)

The SENCO is responsible for:

- Ensure access arrangements have been applied for.
- Ensuring that all relevant staff are aware of any access arrangements that need to be applied

5. Task setting

Where the centre is responsible for task setting, in accordance with specific awarding body guidelines, Leaders will:

- Select from non-examination assessment tasks provided by the awarding body, or

- Design their own tasks, in conjunction with candidates where permitted, using criteria set out in the specification

Staff will ensure that candidates understand the assessment criteria for any given assessment task.

6. Task taking

Where appropriate to the component being assessed, the following arrangements apply unless the awarding body's specification says otherwise.

6.1 Supervision

- Invigilators are not required
- Centres are not required to display the JCQ 'no mobile phone' poster or JCQ 'warning to candidates'
- Candidates do not need to be directly supervised at all times
- The use of resources, including the internet, is not tightly prescribed, but staffs will always check the subject-specific requirements issued by the awarding body
- Staff will ensure that:
 - There is sufficient supervision of every candidate to enable work to be authenticated
 - The work that 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
- Where candidates work in groups, the staff will keep a record of each candidate's contribution
- The staff will also:
 - Ensure that candidates understand the need to reference work
 - Give guidance on how to do this, and
 - Ensure that candidates are aware that they must not plagiarise other material

6.2 Advice and feedback

- Staff will not provide model answers or writing frames specific to the task (such as outlines, paragraph headings or section headings)
- Unless specifically prohibited by the awarding body's specification, staff may:
 - Review candidates' work and provide oral and written advice at a general level
 - Having provided advice at a general level, allow candidates to revise and redraft work
- Any assistance that goes beyond general advice will be recorded and either taken into account when marking the work or submitted to the external examiner
- When marking work, staff will use annotations to explain how marks were applied in the context of the additional assistance given
- Staff will not provisionally assess work and then allow candidates to revise it
- Explicitly prohibited assistance will not be given
- Failure to follow this procedure constitutes malpractice

6.3 Resources

- Staff will be aware of the awarding body's restrictions with regard to access to resources
- Unless otherwise specified by the awarding body, in formally supervised sessions candidates can only take in preparatory notes. They will not access the internet nor bring in their own computers or electronic devices
- Candidates will not introduce new resources between formally supervised sessions
- Preparatory work and the work to be assessed will be collected and stored securely at the end of each session and will not be accessible to candidates

6.4 Group work

- Unless the specification says otherwise, candidates are free to collaborate when carrying out research and preparatory work
- Where it is permitted, some assignments may be undertaken as part of a group
- Where an assignment requires written work to be produced, each candidate will write up his/her own account of the assignment. Individual contributions will be clearly identified
- Group assessment is not permitted

7. Authentication

Staffs will be sufficiently familiar with the candidate's general standard to judge whether the piece of work submitted is within his/her capabilities.

Where required by the awarding body's specifications:

- Candidates will sign a declaration to confirm that the work they submit for final assessment is their own unaided work
- Staff will sign a declaration of authentication after the work has been completed confirming that:
 - The work is solely that of the candidate concerned
 - The work was completed under the required conditions
 - Signed candidate declarations are kept on file

If there is concern that malpractice may have occurred or the work is unable to be authenticated, the senior leadership will be informed.

8. Task marking

8.1 Internally assessed work

Staff are responsible for marking work in accordance with the relevant marking criteria. Annotation will be used to provide evidence to indicate how and why marks have been awarded.

We will inform candidates of internally assessed marks as candidates are allowed to request a review of the centre's marking before marks are submitted to the awarding body.

We will also make it clear to candidates that any internally assessed marks are subject to change during the moderation process.

8.2 Externally assessed work

The format of external assessment will depend on the awarding body's specification and the component being assessed.

Staffs will ensure the attendance register is completed, clearly indicating those candidates who are present or absent.

Where candidates' work needs to be dispatched to an examiner, we will ensure it is sent by the date specified by the awarding body.

9. Malpractice

The head of centre and senior leaders will make sure teaching staff involved in supervising candidates are aware of the potential for malpractice.

Staff will familiarise themselves with the [JCQ guidance on sharing assessment material and candidates' work](#).

Staffs will be vigilant in relation to candidate malpractice. Candidates must not:

- Submit work which is not their own

- Make their work available to other candidates through any medium, including social media
- Allow other candidates to have access to their own independently sourced material
- Assist other candidates to produce work
- Use books, the internet or other sources without acknowledgement or attribution
- Submit work that has been word processed by a third party without acknowledgement
- Include inappropriate, offensive or obscene material

Failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself. Malpractice will be reported to senior leaders or directly to the awarding body.

10. Enquiries about results

We will make candidates aware of the arrangements for enquiries about results before they take any assessments.

Senior members of staff will be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries.

A review of marking is available for externally assessed components. We will obtain written consent from candidates for reviews of marking, and inform candidates that their marks may be lowered as a result of a review of marking.

A review of moderation is available for internally assessed components only when marks have been changed by an awarding body during moderations. If marks have been accepted without change, this will not be available. A review of moderation is not available for an individual candidate.

11. Monitoring

This policy will be reviewed by Gareth Ivett (Strategic Director of College) at the beginning of each academic year. At every review, the policy will be shared with the governing board and approved by the full board.

12. Links with other policies

This policy should be read in conjunction with the assessment policy.

Appendix 1. Risk management process

Risks and issues	Possible remedial action		Staff
	<u>Forward planning</u>	Action	
Timetabling			
Assessment schedule clashes with other activities	Plan/ establish priorities well ahead (at the start of academic year) for all subjects or lines of learning	Plan dates in consultation with College calendar – negotiate with other parties	Phase Lead/AHT/SLT
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	Phase Lead /AHT/SLT
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 Controlled Assessment	Use more than one classroom or multiple sittings where necessary Book an alternative room	Staff
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/ centre facilities	Re-arrange assessment date	Staff

Risks and issues	Possible remedial action		Staff
	<u>Forward planning</u>	Action	
Downloading Awarding Body set tasks			

IT system unavailable on the day of the 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 Re-schedule assessment	Phase Lead /AHT/ Staff/Technician
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's secure extranet site ahead of time	Phase Lead /AHT/ Staff/Technician
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to Awarding Body for replacement; download again	Staff
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates Letter home to parents with key dates Calendar to parents and on College website	Staff to contact home and arrange alternative session	Staff
Candidates have a scheduling clash for examinations or assessment (possibly off site on consortium teaching)	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes N.B. retakes of Controlled Assessment are limited	Check before booking the date; provide an alternative date, where necessary and consult Awarding Body's procedures for dealing with timetabling clashes Controlled Assessments to be done only	Examinations Officer/ Staff
	Block out examination periods from Controlled Assessments	in subject timetabled lessons	

Risks and issues	Possible remedial action		Staff
	<u>Forward planning</u>	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 Subject / department to discuss in meetings	Phase Lead /AHT

Supervision			
Candidate 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	Staff
Teaching staff/ assessors do not understand supervision of Controlled Assessment is their responsibility	Ensure teaching staff/ assessors understand nature of Controlled Assessments and their role in supervision	Phase Lead / Head of Department to discuss in meetings	Phase Lead /AHT
Suitable supervisor has not been arranged for an assessment where teaching staff/ assessors are not supervising	A suitable supervisor must be arranged for any Controlled Assessment where a staff/ assessor is not supervising, in line with the Awarding Body's specification	Phase Lead/AHT to spend time with supervisor to explain how Controlled Assessment is to be conducted	Phase Lead /AHT

* Not all Controlled Assessment will require the completion of a study diary or study plans

Risks and issues	Possible remedial action		Staff
	<u>Forward planning</u>	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's specification**	Seek guidance from the Awarding Body	Phase Lead /AHT
Assessments have not been moderated as required in the Awarding Body's specification	Check specification and plan required moderation appropriately	Seek guidance from the Awarding Body	Phase Lead /AHT
Security of materials			

Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/ obtain different assessment tasks	Phase Lead /AHT
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with Awarding Body's requirements, for each department as necessary	All candidates work to be kept in a secure storage, as with all coursework	Staff
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces Spare classroom could become a secure storage unit	Phase Lead /AHT/SLT

** All tasks whether set by the Awarding Body or the centre/ consortium must be developed in line with the requirements of the specification.

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Risks and issues	Possible remedial action		Staff
	<u>Forward planning</u>	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 Letter home to parents with deadlines	Phase Lead /AHT
Deadlines for marking and/or paperwork not met by teaching staff/ assessors	Ensure teaching staff/ assessors are given clear deadlines (prior to Awarding Body's ones) to complete marking/ paperwork so the examinations office can process and send off marks ahead of Awarding Body's deadlines	Seek guidance from Awarding Body Moderation day	Phase Lead /AHT
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	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 the end of season	Phase Lead /AHT

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Risks and issues	Possible remedial action		Staff
	<u>Forward planning</u>	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	Subject time going through grade descriptions Arrange for remarking Consult Awarding Body's specification for appropriate procedure Moderation day	Phase Lead /AHT
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 Moderation day	Phase Lead /AHT