Hospital Education Service

NEA/IV Policy

(Non Examined Assessments/Internal Verification)

This procedure is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
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Date of next review	May 2025

Key staff involved in the conduct of non-examination assessments

Role	Name(s)
Head of Centre	**Sharon Cutler**
Quality assurance lead/Lead internal verifier	**Kay Griffin**
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SENDCo	**Kay Griffin**
Exams officer	**Kay Griffin**

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What does this policy affect?

This policy affects the delivery of Non-Examined Assessments (NEA) and Internal Verification (IV) procedures at HES in respect of GCSE/ELC/Functional Skills qualifications.

Purpose of the policy

As a Medical Pupil Referral Unit committed to delivering a curriculum intent that delivers appropriate and accessible learning opportunities to all students with medical/physical referrals we undergo a thorough audit of all processes and procedures to ensure that the best possible standards of education and examination are delivered to our learners.

The purpose of this policy is to ensure that our practices are in line with expectations of Exam board compliance and that verification and quality assurance standards are met.

Procedures for planning and managing GCSE/ELC NEA Components / Functional Skills Qualifications at HES identifying staff roles and responsibilities

The basic principles

Lead IV:

- Ensures the centre's Internal Verification Policy is fit for purpose
- Ensures the centre's Internal Verification processes detail the procedure to be followed by learners, assessors and internal verifiers to deliver the course appropriately.
- Is responsible for learner reviews at Data Progress windows
- Ensures that centre resources are managed effectively (exam rooms/alternative site arrangements)
- Ensures that learners are accessing appropriate resources for the Functional Skills suite of offers at HES.
- Ensures that ICE Regulations are adhered to for administration of Functional Skills Examinations

Subject IV:

- Ensures that an initial assessment of learners is carried out to establish an appropriate programme and level of delivery.
- Learner's progress is reviewed and pathway for next steps is defined within subject level (e.g. Step up to GCSE or access to Post-16 course)
- Ensures the delivery model is appropriate.

Learner Management and Development

- Induction to HES establishes baseline of curriculum needs and learners access a curriculum that meets them appropriately.
- Pupils are taught by trained teachers experienced in delivering a curriculum that engages reluctant learners and builds confidence and enthusiasm for learning. HLTA's may support group teaching led by specialist staff. Pupils arriving post-induction may initially be taught by either a primary-trained specialist where literacy needs indicate a period of skill-building or by an intervention teacher with experience in engaging learners with needs centred around confidence-building.
- Staff formally review progress three times a year (progress checks and pupil consultation afternoon)
- All learner's progress is available to be reviewed by home school via GDPR-compliant information agreed sharing during commissioning.

- Learners have access to careers advice and a review of curriculum based on exit-point needs is the consistent core purpose driving delivery at HES.

Centre Resources

Lead IV:

- 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.

Subject teacher/IV:

- 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 appropriate arrangements are in place to keep the work to be assessed, and any preparatory work, secure between any formally supervised sessions, including work that is stored electronically
- 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.

Assessments

Supervision

Lead IV/Exams Officer:

- Ensures 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
- Is confident where work may be completed outside of the centre without direct supervision, that the work produced is the candidate's own
- Where candidates may work in groups, keeps a record of each candidate's contribution
- Ensures candidates are aware of the current 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

Subject teacher/Assessor:
- As relevant to the subject/component, advises candidates on relevant aspects before candidates begin working on a task
- Will not provide candidates with model answers or outlines/headings specific to the task
- When reviewing candidates' work, unless prohibited by the specification, provides oral and written advice at a general level to candidates
- Allows 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

Word and time limits

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

Collaboration and group work

Subject teacher/ Assessor:
- 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/ Assessor:
- 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 requesting reviews of 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 a member of the senior leadership team
- Understands that if, during the external moderation process, it is found that the work has not been properly authenticated, the awarding body will set the mark(s) awarded by the centre to zero

Presentation of work

Subject teacher/ Assessor:
- Obtains informed consent at the beginning of the course from parents/carers if videos or photographs/images of candidates will be included as evidence of participation or contribution
- Instructs candidates to present work as detailed in NEA/Functional Skills Criteria 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

Exams Officer/Lead IV at HES:

- When work is being undertaken by candidates under formal supervision, ensures work is being 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 / FS QA Standards
- Takes sensible precautions when work is taken home for marking
- Stores internally assessed work, including the sample returned after awarding body moderation, securely until all possible post-results services have been exhausted
- If post-results services have not been requested, returns internally assessed work to candidates (if requested by a candidate) after the deadline for requesting a review of results for the relevant series
- If post-results services have been requested, returns internally assessed work to candidates (if requested by a candidate) once the review of results and any subsequent appeal has been completed
- 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 (Reminds candidates of the contents of the JCQ document Information for candidates – Social Media)
- Where work is stored electronically, liaises with the IT Manager to ensure the protection and back-up of candidates' work and that appropriate arrangements are in place to restrict access to it between sessions

IT Manager

- Ensures appropriate arrangements are in place to restrict access between sessions to candidates' work where work is stored electronically
- Restricts access to this material and utilises appropriate security safeguards such as firewall protection and virus scanning software
- Employs an effective back-up strategy so that an up to date archive of candidates' evidence is maintained
- Considers encrypting any sensitive digital media to ensure the security of the data stored within it and refers to awarding body guidance to ensure that the method of encryption is suitable

Task marking – externally assessed components

Conduct of externally assessed work

Subject teacher/ Assessor:

- Liaises with the exams officer regarding the arrangements for any externally assessed components of a specification which must be conducted within a window of dates specified by the awarding body and according to JCQ Instructions for conducting examinations
- Liaises with the Visiting Examiner where this may be applicable to any externally assessed component

Exams officer/ Lead IV:

- Arranges timetabling, rooming and invigilation where and if 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 and according to JCQ Instructions for conducting examinations

Submission of work

Exams officer/Lead IV:

- Provides the attendance register to the subject teacher where the component may be assessed by a Visiting Examiner/moderator
- 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 reviews of results for the exam series
- Packages the work as required by the awarding body and attaches the examiner address label
- Ensures that the package in which the work is despatched is robust and securely fastened
- Despatches the work to the awarding body's instructions by the required deadline

Task marking – internally assessed components

Marking and annotation

Head of centre
- Ensures where a teacher teaches his/her own child, a conflict of interest is declared to the awarding body and the marked work of the child submitted for moderation, whether it is part of the moderation sample or not

Subject head/lead
- Sets timescales for teachers to inform candidates of their centre-assessed marks that will allow sufficient time for a candidate to appeal an internal assessment decision/request a review of the centre's marking prior to the marks being submitted to the awarding body external deadline

Subject teacher/Assessor:
- Attends awarding body training as required to ensure familiarity with the mark scheme/marking process
- 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 to the timescale set by the subject lead or as indicated in the centre's *internal appeals procedure* to enable an internal appeal/request for a review of marking to be submitted by a candidate and the outcome known before final marks are submitted to the awarding body

Internal standardisation

Lead IV:
- Ensures that internal standardisation of marks across assessors and teaching groups takes place as required and to sequence
- Ensures new staff delivering FS attend training on marking
- Ensures accurate internal standardisation - for example by

  - obtaining reference materials at an early stage in the course
  - holding a preliminary trial marking session prior to marking
  - carrying out further trial marking at appropriate points during the marking period
  - after most marking has been completed, holds a further meeting to make final adjustments
  - making final adjustments to marks prior to submission retaining work and evidence of standardisation
- Retains evidence that internal standardisation has been carried out

Subject teacher/Assessor:
- Indicates on work (or cover sheet) the date of marking
- Marks to common standards
- Keeps candidates work secure until after the closing date for review of results for the series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Transferred Candidates not entered under 20436:

Exam Officer:

- Ensures procedures for internal standardisation are followed as per 20436-entered candidates

Assessor/IV:
- Provides marks to the exams officer to the internal deadline
- Provides the moderation sample to the exams officer to the internal deadline

Exams officer
- Retains all candidates' work in the consortium until after the deadline for reviews of results for the exam series concerned or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- submits marks for home centre candidates to the awarding body deadline

Submission of marks and work for moderation

Subject Teacher/IV:
- Inputs and submits marks online, or works with the Exams Officer to input via the awarding body secure extranet site, keeping a record of the marks awarded, to the external 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 that where a candidate's work has been facilitated by a scribe or practical assistant, the relevant completed cover sheet is securely attached to the front of the work and sent to the moderator in addition to the sample requested
- 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
- Submits any supporting documentation required by the awarding body/Provides the exams officer with any supporting documentation required by the awarding body

Exams officer/Lead IV:
- 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 teachers 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
- Through the subject teacher, submits any supporting documentation required by the awarding body

Storage and retention of work after submission of marks

Lead IV:

- Retains all marked candidates' work (including any sample returned after moderation) under secure conditions for the required retention period
- In liaison with the IT Manager, takes steps to protect any work stored electronically from corruption and has a back-up procedure in place
- If retention is a problem because of the nature of the work, retains some form of evidence such as photos, audio or media recordings

External moderation – the process

Subject teacher/IV:
- Ensures that awarding body or its moderator receive the correct samples of candidates' work
- Where relevant, liaises with the awarding body/moderator where the moderator visits the centre to mark the sample of work
- Complies with any request from the moderator for remaining work or further evidence of the centre's marking

External moderation – feedback

Subject head/IV:
- Checks the final moderated marks when issued to the centre when the results are published
- Checks moderator reports and ensures that any remedial action, if necessary, is undertaken before the next exam series

Exams officer/Lead IV:
- Accesses or signposts moderator reports to relevant staff
- Takes remedial action, if necessary, where feedback may relate to centre administration

Access arrangements

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

Special educational needs coordinator (SENCo)
- Follows the regulations and guidance in the JCQ publication Access Arrangements and Reasonable Adjustments in relation to non-examination assessments including Reasonable Adjustments for GCE A-level sciences – Endorsement of practical skills
- 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 teachers aware of any access arrangements for eligible candidates which need to be applied to assessments
- Works 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

Special consideration and loss of work

Subject teacher
- Understands that a candidate may be eligible for special consideration in assessments in certain situations where a candidate is absent and/or produces a reduced quantity of work
- Liaises with the exams officer when special consideration may need to be applied for a candidate taking assessments
- Liaises with the exams officer to report loss of work to the awarding body

Exams officer/Lead IV:
- Refers to/directs relevant staff to the JCQ publication <u>A guide to the special consideration process</u>
  - o Where a candidate is eligible, submits an application for special consideration via the awarding body's secure extranet site to the prescribed timescale
  - o 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
  - o Keeps required evidence on file to support the application
- Refers to/directs relevant staff to <u>Form 15 – JCQ/LCW</u> and where applicable submits to the relevant awarding body

Malpractice

Head of Centre
- Understands the responsibility to immediately report to the relevant awarding body any alleged, suspected or actual incidents of malpractice involving candidates, teachers, invigilators or other administrative staff
- Is familiar with the JCQ publication <u>Suspected Malpractice in Examinations and Assessments: Policies and Procedures</u>
- Ensures that those members of teaching staff involved in the direct supervision of candidates producing non-examination assessment are aware of the potential for malpractice and ensures that teaching staff are reminded that failure to report allegations of malpractice or suspected malpractice constitutes malpractice in itself

Subject teacher
- Is aware of the JCQ <u>Notice to Centres - Sharing NEA material and candidates' work</u> to mitigate against candidate and centre malpractice
- Ensures candidates understand what constitutes malpractice in non-examination assessments
- Ensures candidates understand the JCQ document <u>Information for candidates - non-examination assessments</u>
- Ensures candidates understand the JCQ document <u>Information for candidates - Social Media</u>
- Escalates and reports any alleged, suspected or actual incidents of malpractice involving candidates to the head of centre

Exams officer/Lead IV:
- Signposts the JCQ publication <u>Suspected Malpractice in Examinations and Assessments: Policies and Procedures</u> to the head of centre
- Signposts the JCQ <u>Notice to Centres - Sharing NEA material and candidates' work</u> to subject heads
- Signposts candidates to the relevant JCQ information for candidates documents
- Where required, supports the head of centre in investigating and reporting incidents of alleged, suspected or actual malpractice

Post-results services

Head of Centre
- Is familiar with the JCQ publication <u>Post-Results Services</u>
- 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 a review of results or an appeal

Subject head/IV:
- Provides relevant support to subject teachers making decisions about reviews of 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 a review of moderation 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 to 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/Speaking, listening and communication for ELFS/FS

Head of Centre/Lead IV:
- Returns relevant course required declarations including NCN 'Head of Centre declaration' confirming 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

Quality assurance (QA) lead/Lead internal verifier
- Ensures the appropriate arrangements are in place for internal standardisation of assessments

Subject head/lead
- Confirms understanding of the *Spoken Language Endorsement for GCSE English Language specifications designed for use in England, Pearson Entry Level Functional Skills English Speaking, Listening and Communicating: guidance for assessors* and *Guidance for centres on completing Functional Skills Speaking and Listening L1 and L2 assessments* and ensures any relevant JCQ/awarding body instructions are followed
- 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/Assessor:
- 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/Lead IV:
- Follows the awarding body's instructions for the submission of grades and recordings