



**Management of GCSE, Entry Level and BTEC  
NEA (non-examination assessment)  
Controlled Assessments,  
(including Risk Management and  
Staff Responsibilities).**

**School Name:** Birch Wood School

**Policy owner:** Philip Leaney

**Date Ratified by Chair of Governors:** 2016

**Reviewed:** September 2025

## **Introduction**

This policy relates to GCSE, Entry Level, BTEC and other examinations

What is non-examination assessment?

“The regulator’s definition of an examination is very narrow and in effect any type of assessment that is not ‘externally set and taken by candidates at the same time under controlled conditions’ is subjectified as non-examination assessment (NEA).

‘NEA’ therefore includes, but is not limited to, internal assessment.

Externally marked and/or externally set practical examinations taken at different times across centres are subjectified as ‘NEA’.”

[Definition taken directly from the JCQ publication Instructions for conducting non-examination assessments]

Instructions for task setting, task taking and task marking are all clearly explained in the specification for a course. However, there are significant variations in the level of supervision (formal/ informal/ limited) required for each element and course.

Controlled assessments will, like coursework, require school personnel and students to follow appropriate procedures. Some assessments may also require the allocation of resources.

This policy sets out the roles, responsibilities and procedures to be adopted to ensure the appropriate administration of controlled assessments within Birch Wood School

## **Principles**

Birch Wood School will adopt the new GCSE, Entry Level and BTEC and other specifications where course leaders determine they provide the most suitable content and assessment model for our students, and where a suitable delivery model can be used in line with our current curriculum model.

Course leaders will determine the specific exam board and specification to be used. This decision will be reviewed through the school’s QA programme, in reviewing outcomes, in discussion with members of SLT and through student voice.

Within the constraints of the curriculum model it is the responsibility of the course leader to determine the timing of assessments throughout the course. This will be made overt through schemes of work and in communications to the exams officer. All such decisions will be overseen by the head teacher, deputy head teacher or SLT line manager, to ensure there is an organised approach which does not disadvantage any students.

Overall Birch Wood School will attempt to organise the delivery of all exams and controlled assessments to best facilitate the outcomes for students.

There are three assessment stages and rules which apply to each stage. These rules often vary across subjects. The stages are; task setting, task taking and task marking.

### Task setting:

Teachers can choose from the range of tasks set by awarding bodies, some of which can be contextualised to suit local circumstances. Arrangements will differ by subject, with some subjects allowing centres to set tasks whilst other subjects will be required to use the task precisely as supplied by the awarding body. In a limited number of subjects students will be able to select their own tasks.

### Task taking:

Depending on the level of supervision defined within the subject specification, NEA may take place

- In a normal timetabled lesson or other defined session under formal supervised conditions, possibly with controlled access to resources
- Outside the centre and involve research with limited supervision. Details on the level of supervision can be found within the relevant awarding body's specification for each subject.

### Task marking:

- Externally assessed components may have a visiting examiner, or require candidates' work to be despatched to an examiner. Arrangements will be defined within the subject specification.
- Internally assessed components must be assessed against the marking criteria detailed in the relevant specification and associated subject-specific documents. Marks are moderated by the awarding bodies.

### Reviews of marking:

- **Internally assessed components**  
Before the deadline for the submission of marks to the examination board, the school will:
- Inform students of their centre assessed mark, making it clear that any centre assessed marks are subject to change through the moderation process
- Inform candidates of the opportunity and process for requesting a review of marking
- Provide the necessary resources/personnel to allow the review of marking to be carried out.

It is essential that NEA processes are managed correctly and all members of staff must be aware of their specific responsibilities.

## Procedures

It is important that all staff contribute to the planning, preparation and delivery of controlled assessments to ensure their smooth delivery. There are several specific activities which must be carried out to ensure that nothing restricts the students' opportunities to perform to their best in the assessments:

- Schemes of work must be reviewed/updated annually to ensure that the delivery of controlled assessments is adequately catered for. Subject leaders are responsible for ensuring this takes place and this will be overseen by SLT line managers.
- The scheme of work must show how the students will be prepared for the controlled assessment, the timings for the controlled assessment (including any preparatory research) and a possible alternative schedule for students who may be absent at key times. Subject leaders must pay particular attention to the advice in their chosen specifications and ensure they meet all the necessary criteria and deadlines.
- The Exams Officer must ensure that they provide course teachers with all the guidance documents from the exam board, ensuring they are aware of the regulations and deadlines and that these are followed.
- The exams officer will request information from subject leaders about the courses being delivered and their requirements for examination and controlled assessment entries. The exams officer will check that subject leaders' instructions meet the requirements for each course (e.g. timings and nature of exam and assessments) and will remedy any problems found. The exams officer will then produce a plan for the year outlining the timings and nature of all exams and assessments and will then decide if any adjustments are necessary to avoid clashes, either between courses or with other school activities, and inform subject leaders of this. The Exams Officer will ensure that it is possible for alternative arrangements to be made for all controlled assessments within the time constraints of the exam deadlines.
- The designated person with responsibility for access arrangements will liaise with all subject leaders to provide guidance on additional arrangements that may be needed for some students. Subject leaders are responsible, for ensuring that arrangements are put in place for any necessary students and that all teaching staff are made aware of the nature of the arrangements. These arrangements will be brought to the attention of SLT if they are likely to need significant resourcing such as rooming, special times, ICT etc. which are not within the remit of subject leaders to organise.
- From the overall plan for the year the Exams Officer will ensure that all departments have suitable opportunities to carry out internal moderation and advise subject leaders accordingly. Subject leaders should have considered this in their planning for the year when writing their schemes of work. They must ensure that each teacher on the course is fully aware of the requirements of the examination board in marking the work. An internal moderation activity must be carried out and should be recorded as part of the QA process for the department. The subject leader must ensure that all work is marked within the guidance of the exam board and that teachers remark work where necessary. The subject leader is responsible for ensuring that the marks for the controlled assessment are passed

to the exams officer promptly and in the time requested by the exams officer. The exams officer is then responsible for ensuring that the marks are duly recorded and sent to the exam board.

- Subject leaders and teachers are responsible for ensuring that all work is securely maintained in accordance with board directions. They must ensure that they comply with all the security arrangements surrounding the handling of board provided materials for carrying out controlled assessments. They must also ensure that students' work is similarly securely maintained. They must keep all work in a secure location in order to meet any requirements from the board for external moderation activities.

## **Outlining staff responsibilities – GCSE, Entry Level, BTEC and other controlled assessments**

### **Exams Officer**

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with subject to schedule controlled assessments. (It is advisable that controlled 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 controlled 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 controlled assessments.
- Collect evidence from all parties listed below to inform a review of this policy. Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.

### **Subject Leader**

- Decide on the awarding body and specification for a particular GCSE.
- 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, to satisfy the terminal assessment requirement in accordance with the awarding body specification.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.

- Ensure that individual teachers understand their responsibilities with regard to controlled 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 contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.
- Provide feedback to SLT as directed to inform a review of this policy.

### **Teaching staff**

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the exams office details of all unit codes for controlled assessments.
- 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.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body 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 special educational needs coordinator (SENCO) for any assistance required for the administration and management of access arrangements.
- Provide feedback to SLT as directed to inform a review of this policy.

- 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.
- Download and distribute marksheets for teaching staff to use, and collect and send marksheets to awarding bodies before deadlines.
- On the few occasions where controlled assessment cannot be conducted in the Subject room arrange suitable accommodation where controlled assessment can be carried out, at the direction of the senior leadership team.
- Provide feedback to SLT as directed to inform a review of this policy.

### Designated Person responsible for access arrangements

- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.
- Provide feedback to SLT as directed to inform a review of this policy.

### Internal Appeals

Students have the right of appeal in situations where they feel their work has been assessed inappropriately or incorrectly.

Currently the policy and procedures for internal appeals can be found in the school assessment policy.

### Risk Management Process

Example risks and issues	Possible remedial action		Staff
	Forward Planning	Action	
<b>Timetabling</b>			
Controlled assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. at the start of the academic year)	Plan dates in consultation with school calendar	CW MW Subject teachers
Too many controlled assessments close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates some time between them.	CW MW Subject teachers

Accommodation			
Insufficient space in classrooms for candidates	Once the size of the cohort is known at the start of the year, flag instances where regular classrooms space may not be suitable to conduct controlled assessments	Use more than one classrooms or multiple sittings where necessary	CW MW  SLT (Senior Leadership Team) Subject teachers
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/centre facilities		CW / MW
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	HYT (IT support)  CW / MW
Teaching staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of controlled assessment schedule	CW /MW
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	CW / MW
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		CW / MW Subject teachers
Unexpected absence of a candidate for one or more formally supervised sessions		Give the candidate the opportunity to make up the missed time	CW / MW Subject teachers
Control levels for task taking			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	CW / MW Subject teachers
Supervision			
Teaching staff do not understand that the supervision of controlled assessments is their responsibility	Ensure teaching staff fully understand the nature of controlled assessments and		CW / MW Subject teachers

	their role in supervising assessments		
A suitable supervisor has not been arranged for an assessment where teaching staff are not supervising	A suitable supervisor must be arranged for any controlled assessment session where a teacher is not supervising, in line with the awarding body's specification	Teacher should make the Exams Officer aware in good time of the requirement if any supervisory staff required other than the subject teacher	CW / MW Subject teachers
<b>Task setting</b>			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification	Seek guidance from the awarding body	CW / MW Subject teachers
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	CW / MW Subject teachers
<b>Security of Materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security.	Contact the awarding body to request/obtain different assessment tasks	CW / MW Subject teachers
Candidates work not kept secure during or after assessment	Define the appropriate level of security, in line with awarding body's requirements, for each department as necessary	Seek guidance from the awarding body	CW / MW Subject teachers
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course	Find alternative storage within the centre	CW / MW Subject teachers
<b>Deadlines</b>			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines and the penalties for not meeting them	Mark what candidates have produced by the deadline. Seek guidance from the awarding body	CW / MW Subject teachers
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking / paperwork. (Marks can then be processed and submitted ahead of deadlines)	Seek guidance from the awarding body	CW / MW Subject teachers
<b>Authentication</b>			

Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign Ensure the authentication form is securely attached to their work when it is completed and handed in for marking	Find candidate and ensure authentication form is signed	CW / MW Subject teachers
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature Ensure authentication forms are signed as work is managed	CW / MW Subject teachers
<b>Marking</b>			
Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking Plan for sample marking during the practice phase	Consult the awarding body's specification for appropriate procedures	CW / MW Subject teachers
Centre does not run the standardisation activity as required by the awarding body	Plan against the awarding body's requirement for standardisation i.e. when and how this activity must be conducted	Check with the awarding body whether a later standardisation event can be arranged	CW / MW Subject teachers