



Policies and procedures for the conduct of examinations and controlled assessments

Updated Nov 2023

Incorporates newly issued JCQ regs for FS English & Maths L1/L2

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Aims and objectives of the policy

To ensure controlled assessments and exams are carried out in accordance with awarding body requirements, and appropriate policy is in place for malpractice and appeals.

For the purposes of this document:

- An examination (exam) refers to an externally-assessed component of a qualification which is taken under exam conditions. This may additionally be referred to as a “test”, “on-screen test” or “tested unit”.
- A controlled assessment refers to an internally-assessed component of a qualification which may be taken under medium-control or high-control conditions, as specified by the awarding body’s regulations.

This policy should be read in conjunction with the following:

- JCQ ICE (Instructions for conducting examinations)
- JCQ Instructions for Conducting Functional Skills Assessments (English & Maths)
- (Pearson Edexcel Instructions for Conducting Examinations)
- Pearson Edexcel Instructions for the Conduct of Controlled Assessments
- Ascentis ESOL Skills for Life Handbook for Centres



These Instructions have been created to maintain the integrity of Elatt's exam and assessment processes. Failure to adhere to these Instructions could adversely affect our centre approval and/or candidates' results/certification at our centre, or potentially, in the event of a breach of question paper security, at a national level.

2. Centre inspections

Responsible person: Naima Elmansouri

Designated person: Yvonne Bizayi

- Our centre is permanently staffed between 8:30am and 5.00 pm Monday to Friday except for public and school/college holidays and is not delivering exams or expecting delivery of any examination materials.
- Authorised inspectors will present and identify themselves to the centre by means of a letter of authority.
- A senior member of staff or a member of the exams office must be available to accompany the Inspector throughout the course of his or her centre visit. This will include inspection of the centre's secure storage facility. In the case that the centre head or exams officer is not available, the "cover exams officer" will accompany the inspector. This is a staff member who shares responsibility with the exams administrator for exam paper security from receipt to storage, including logging.
- Our centre must co-operate with any visit from an inspector, including giving access to our secure storage and ensure up-to-date contact details on awarding body portals.
- NCFE: Controlled assessments inspection includes: processes for the printing, storing, transferring and destruction of controlled assessments. The inspector may ask to speak to staff who conduct assessments.

3. Exams: registration and delivery

Preparing for assessment

Entries to be made by the relevant portal and by the published deadline. Eg. Edexcel Online. Late entries are subject to awarding body discretion and/or late entry fee. Unauthorised changes or substitutions constitute malpractice.

Receiving and checking exam materials

- Envelopes and boxes containing confidential materials are signed for at reception.
- A log is kept at the initial point of delivery, recording the receipt, movement and despatch of confidential exam materials.



- The confidential materials are received and handled only by those authorised by the head of centre or designated person. These are adults with an appropriate level of responsibility within the centre; and are not be current students at the centre. For FS/GCSE, this should be the Exams Officer or Quality Nominee.
- On receipt paper packets, still in their despatch packaging, are moved immediately to the secure room for checking and transfer to the centre's secure storage facility.
- Checking (eg of the external assessment documentation) is done on the day the papers are received. If this is not possible, due to a late delivery or the unavailability of authorised members of staff, the material is transferred immediately into the secure storage facility until it can be checked, which must be no later than the next working day.
- The awarding body customer support department must be immediately contacted if there is damage to materials, if the incorrect materials have been sent or if there are amendments/additions /withdrawals.
- No person who teaches or has any role in the delivery of a Level 1 or 2 Functional skills qualification is involved in the administration* of the assessment materials for Level 1 and 2 exams in that subject (regardless of the level they teach). This includes initial receipt of confidential materials, secure storage, movement and preparation of materials for scheduled assessments, and registration, secure storage and return of materials after scheduled exams are completed.
- Where papers are printed by the centre, they must not be stored on computers.

Storage of exam materials

- "Secure storage" refers only to those facilities which have been inspected and approved by JCQ and/or the awarding body, as meeting the security requirements in this document or the JCQ Instructions for conducting examinations.
- ELATT must inform awarding bodies (including examsofficers@pearson.com) of any change of address and/or changes in secure storage – whether it is planned or as a result of unforeseen circumstances. Reference must be made to the JCQ NCN checklist.
- Assessment materials and any other confidential material (including downloaded materials and completed candidate scripts) must be stored securely
- Examination papers are stored in a non-portable safe or non-portable filing metal cabinet and must only be accessed in accordance with the awarding body's specific instructions.
- Only persons authorised by the head of centre and the exams officer must be allowed access to the centre's secure storage facility.
- Key holders are limited to 2 – 6 key holders
- Centres must not keep a spare set of keys anywhere they can be accessed, including a cabinet or safe, by unauthorised persons.

Handling of examination materials



- Examination and live assessment materials must be stored securely at all times both before and after examinations.
- Examination Materials must always be transported securely and must only be held overnight in inspected and approved secure storage.
- External assessment materials must remain sealed and must not be opened before (1) the set date/time of the external assessment or (2) the start of the centre scheduled supervised or invigilated sessions.
- If circumstances are such that a packet of question papers needs to be split, as few packets as possible should be opened. The sealed question paper packet must be opened in the secure room and not in the examination room. For FS, papers should not be split until two days before the assessment and log must be kept of those who have handled the papers, which packs were involved and when this was done. For GCSE, papers must not be split until an hour before the exam start time.
- The question papers extracted from the sealed question paper packet must be placed in an envelope which is then sealed and transported securely to the allocated room or satellite exam venue(s).
- For GCSE papers, the “second set of eyes” check should be carried out in the secure room immediately before the exam packet is opened. This must be recorded in the log which can be found on top of the safe in the secure room. See ICE for guidance on how to carry out this check.

Transporting exams to offsite examination venues:

- When transporting to an alternative exam venue the examination papers can be removed from the centre’s approved secure storage to accommodate appropriate travel time to the venue. If packs need to be split and resealed, this must not be done earlier than four days before the assessment date.
- They must: be transported to a venue in their sealed packets/envelopes in a secure locked container, such as a locked briefcase; travel with a person authorised by the head of centre and the exams officer; be securely transported and, if not despatched immediately, returned to the centre’s inspected and approved secure storage after the exam.
- The centre will keep a transport log detailing names of those handling the papers, date and time of removal from storage, transport and security measures, time of arrival at each location, and storage arrangements at each approved location.
- All exam venues must be available for the purposes of inspection.
- The head of centre remains accountable for ensuring every examination delivered at any exam venue meets the requirements of these instructions
- The question paper packet with the remaining papers must be re-sealed and placed back in the centre’s secure storage facility, and only re-opened and removed from the secure storage for the next scheduled exam.

Invigilators and other staff involved in assessments



The invigilator is the person in the examination room responsible for conducting a particular examination session in the presence of the candidates. The Head of Centre is responsible for ensuring that appropriate invigilators are appointed.

- Invigilators at the exam venues must be trained and understand their responsibilities
- The role of the invigilator is to:
 - a) ensure all candidates have an equal opportunity to demonstrate their abilities;
 - b) ensure the security of the examination before, during and after the examination;
 - c) prevent possible candidate malpractice;
 - d) prevent possible administrative failures.
- In particular they must be able to carry out invigilation of all exams without distraction and be able to observe all candidates at all times.
- There must be arrangements in place for the invigilator to easily summon assistance during examinations to deal with emergencies and/or situations which might prevent them from carrying out invigilation to the required standard.

The head of centre, exams officer or QA co-ordinator must ensure invigilators are suitably qualified and experienced adults, who must not be current students at the centre. In addition:

- a) any relative, friend or peer of a candidate in the examination room must not be the sole invigilator;
- b) a Functional Skills subject tutor must not be involved in the invigilation of that subject even if they have not taught those candidates, ie: a Functional Skills English tutor must not invigilate any Functional Skills English exam and a Functional Skills Maths tutor must not invigilate any Functional Skills Maths exam, regardless of the level they teach. Any exception to this must be cleared in advance with Pearson.

The head of centre, exams officer, or quality assurance co-ordinator must:

- a) ask each invigilator to declare whether he/she has invigilated previously and whether he/she has any current maladministration/malpractice sanctions applied to them.
- b) provide update meetings/refresher training for existing invigilators so that they are aware of any changes to the regulations;
- c) keep a record of the training given to invigilators including attendance sheets, training materials, instructions and the date the training was given. **Records must be kept for at least 1 year after the date of the training – these must be available for inspection on request**
- d) make instructions available to each invigilator in the examination room, including JCQ and awarding body ICE. This may be a printed hard copy version or an electronic copy which is visible at all times via a computer;
- e) for Functional Skills exams – provide the invigilator with the “Important Notice For Invigilators”. Hard copies are sent to centres with each package of question papers



- f) appoint at least one invigilator for each group of 30 candidates or fewer sitting written examinations
- g) appoint at least one invigilator for each group of 20 candidates or fewer sitting computer based or on-screen tests/examinations.
- h) make sure that if invigilators are changed, the number of invigilators present in the examination room does not fall below the required number;
- i) make sure that, when one invigilator is present, he or she must be able to get help easily, without leaving the examination room and without disturbing the candidates. An invigilator could use a mobile phone but this should be kept on silent mode to prevent any incoming calls or messages which may disturb candidates or distract the invigilator.
- j) Retain seating plan records signed by the invigilator, the invigilation arrangements and the centre's copies of any attendance registers for each examination for one year.
- k) Ensure that for examinations using computer equipment, technical help should be available throughout in case of hardware/software problems and to assist with invigilation of the test.

Invigilators must:

- a) be familiar with these Instructions and have access to the JCQ and awarding body ICE
- b) give all their attention to conducting the examination properly;
- c) be able to observe each candidate in the examination room at all times;
- d) inform the head of centre immediately if they are concerned about the security of the examination papers. (See section on Malpractice for actions in this case)
- e) ensure they complete the invigilation record/certificate and seating plan to provide an accurate record of the invigilation arrangements for each exam.

Invigilators must not:

- a) carry out any non-exam related task (for example, reading a book, looking at their mobile phone/tablet/computer or marking) in the examination room;
- b) read the question paper – they must only access the front page (rubric) for specific instructions, details of resources allowed.
- c) carry out any activity not stated in the regulations,
- d) leave the examination room at any time during an exam, unless they are replaced by another trained invigilator.
- e) Allow any unauthorised persons in the room.
- f) Rephrase a question for a candidate, explain subject-specific or technical terms or give indication of time elapsed where a paper has distinct sections (unless as part of a documented access arrangement).

Setting up the exam room

- Display material (such as diagrams, wall charts and projected images) that might be helpful to candidates must not be visible in the examination room.
- A reliable clock (analogue or digital) must be visible to each candidate in the exam room. Do not use countdown or count up clocks.



- An up-to-date Warning to Candidates poster and the Mobile Phone poster must be displayed in a prominent place outside the examination room
- Display a “Quiet, Exam in Progress – No Admittance” notice outside.
- Board should be visible to all candidates showing: a) centre name, centre number, subject title; and b) the date and actual starting and finishing times of each examination.
- The room should be quiet and well-lit, well-ventilated and at a reasonable temperature.
- The seating arrangements must prevent candidates from overlooking (intentionally or otherwise) the work of others. The minimum distance in all directions from centre to centre of candidates’ chairs must be 1.25 metres (or as required for social distancing).
- Wherever possible, for written/paper based examinations: a) all candidates should face in the same direction; b) each candidate should have a separate desk or table big enough to hold question papers/answer booklets and resource documents.
- Where centres are using screened booths for candidates awarded readers, scribes or word processors, the invigilator(s) must be able to see the candidates at all times. Additionally, candidates must not be able to overhear or distract one another.
- A seating plan should be prepared for every exam that shows the position of each candidate, the invigilator and anyone present in the examination room during that exam and any changes noted on the seating plan
- **The seating plan must be retained by the centre for at least a year after the exam and made available to the awarding body on request. A seating plan must be made even if there is only one candidate.**
- Candidates with access arrangements must be identified on the seating plans.
- The invigilator must be familiar with any access requirements for the session.
- The invigilator must know who is designated as support during the exam and how to contact that person.

Admitting candidates/Starting the exam

- No candidate should be allowed in the designated examination room until the examination preparation is complete.
- Invite candidates to enter the room under supervised conditions. Only candidates whose names are on the list are allowed to sit the exam.
- Ensure they are seated according to the seating plan.
- Identify candidates. As stated earlier, the candidates’ identities are verified upon registration. On the day, identity checks will be by centre ID photo. A staff member can also validate a learner who is known to them if necessary. Centre staff who have been authorised by their head of centre may be present at the start of the examination for the purposes of assisting with the identification of candidates.
- Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the veil for identification purposes. Centres must inform candidates of this procedure when they are



considering undertaking the qualification and/or exam. Once identification has been established, the candidate should replace the veil and proceed as normal to sit the exam.

- Candidates' personal belongings should be securely stored. Folders, mobile phones, smart watches, earbuds or earphones, tablets, MP3/MP4 players, or electronic devices must be switched off and placed in bags. Bags should be stored out of reach in a designated section of the room.
- Candidates must be in the exam room at least 10 minutes before the start of the external assessment to allow time for the invigilator/supervisor to read out the generic instructions, eg the Warning to Candidates.
- After the warning, collect any additional unauthorised items in the candidates' possession. (NB typically students are allowed pens, a transparent pencil case and maths equipment for those papers)
- Check students have what they require.
- Distribute the papers, asking candidates to complete the information on the front. Carefully check that each candidate is given the right level and paper, including version if applicable.
- Allow the candidates to begin, telling them how much time they have.
- Put the start time and finish time(s) on the board – these may vary if candidates are sitting different levels or if some have additional time due to access arrangements.
- Food and drink may be allowed in the examination room only at the discretion of the head of centre. However, this is on the condition that any food brought into the examination room, whether by the candidate or the centre, is free from packaging and all labels are removed from drink containers.

Resources

- Rough notes: For FS, centres should have blank paper available for use as rough paper if required. Candidates must not bring their own paper into the exam with them. GCSE candidates must write their notes in the answer booklet, then put a line through them.
- Ensure stocks of toner, ink and paper are sufficient to meet the demands, where required.
- Any rough work/notes made by candidates during the exam must not be removed from the exam room and should be collected and disposed of, as confidential material, by the invigilator.
- Where dictionaries are permitted (eg FS English Reading), they must not be annotated. NB It is important to check each exam component/level carefully for rules regarding dictionaries. Candidates will have been told the regulations beforehand. Digital dictionaries are not allowed.
- Where calculators are permitted, they must be checked as suitable. Candidates will have been told the regulations beforehand. The course tutor should supply additional calculators in case of need. Candidates are not allowed to share calculators. Phones cannot be used as calculators.
- With FS exams, the invigilator must ensure calculators are collected before issuing the paper which does not allow them.



- Where an individual's access arrangements allows for word processing a writing exam, the tech team must ensure the internet is disabled and the device contents are checked.



During the exam

- Late arrivals can be accommodated and given the full assessment period depending on organisational and supervision capacity.
- If a candidate is very late (eg for GCSE this is more than one hour), they can be allowed to sit the exam at the centre's discretion but an online VLA form must be completed within seven days.
- If a candidate needs to leave the room, they must be accompanied by a responsible adult to ensure they do not access any prohibited materials.
- If during the exam, candidates have any unauthorised material (whether or not they intend to use it), this may be considered as malpractice. In such circumstances take away the unauthorised material and allow the candidate to continue. Report the incident to the awarding body eg pqsmalpractice@pearson.com. Refer to the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures-

Ending the Exam

- Typically a warning may be given 10 minutes before the end (eg FS), although invigilators should check for other exams. However, where candidates have different finishing times the centre must consider the impact on them.
- Candidates who finish before the end must hand in their papers and cannot return to the room.
- However the priority is to ensure the integrity of the assessment for late arrivals and early leavers. Generally, do not allow learners to leave in the last 10 minutes of the exam to ensure integrity is maintained.
- Instruct candidates to stop writing. However candidates must be given full time allowance if they arrive late, dependent on centre capacity.
- Instruct candidates taking written examinations to:
 - make sure they have put all the necessary information on their scripts and any additional answer sheets, resource documents and rough paper e.g. candidate name, candidate number, centre name, centre number; task number
 - make sure their answers are correctly numbered;
 - put any loose sheets in the order they answered the questions, and then firmly attach them to, or insert them in, the answer booklet with a treasury tag, paper clips or staples
- Alternatively, centres can provide stickers with these details.
- Printing should take place after the assessment has ended. The learner must be present to verify the work printed is their own. Where multiple learners are required to print material, a structured order must be set in advance, communicated to the learners clearly and monitored effectively.
- All test papers/recording devices must be collected before the candidates leave the room.



Check that there is an answer book and question paper for every candidate marked present in the exam.

- Make sure that any resource documents detached from the question paper/answer booklet are put back inside the question paper/answer booklet. These must not be retained by the candidate or the centre and must be returned with the answer booklets.
- Check that candidates have used correct centre numbers and candidate numbers.
- If a discrepancy is identified when checking that the candidate and centre information matches the details on the attendance list, the centre may correct the discrepancy or add to the information recorded by the candidate on the front of their answer booklet. For example, centre number, candidate number, candidate name. In such a situation the correction should be counter-signed on the question paper/answer booklet/script. Centres must not alter any other details on the candidate's question paper/answer booklet/script
- All tests should be collated and returned to the head of centre/quality lead/exams officer immediately, along with the attendance list, seating plan, signed invigilation report and any other paperwork.

4. Controlled assessments: registration and delivery

The exams officer and exams administrator are responsible for the safe storage, access and delivery of secure assessments. They must keep access logs, manage the assessment day, including checking learner identities, and ensure the assessments are properly run. They must also securely dispose of unused papers. However, the head of centre is responsible for ensuring the delivery and security of tests and supporting materials if assessments are taking place on more than one site.

Staffing and training

- All staff undertaking assessment are qualified in their subject specialist area for post-16 training and assessment, and must complete continuous professional development on an ongoing basis.
- Information regarding changes to qualification or the introduction of new qualifications will be disseminated at Internal CPD events which are held at the beginning of every term. Tutors will receive the guidance and information they need in relation to any new assessment introduced.
- Any new information sent by awarding bodies in relation to change of assessors or change of procedures etc, which impact tutors and candidates will be passed to relevant tutors if no CPD is taking place.
- Tutor assessors will also be informed of the location of the relevant guidance documents
- Training will also take place for new staff undertaking invigilation responsibilities as well as any staff providing access arrangements.



- For FS qualifications, learners must be registered at least three weeks before assessment. Guidelines for ESOL learners should be checked with the appropriate awarding body.
- Assessment materials can be accessed and printed by the exams officer from the secure website once registrations are made. No-one else should have access to the live materials. They must not be downloaded or emailed.
- A log must be kept of any access to the assessment materials.
- Live materials include tests, mark schemes, guidance/instructions. They must be checked once printed, then placed in the secure storage.
- Tests can be printed up to two weeks before the assessment in order to allow for contextualisation (Functional Skills)
- After assessment, all papers and scripts must be collected before learners leave the room.
- The awarding body must be informed immediately if the security of the assessment papers has been put at risk.
- Unused assessments must be securely disposed of following completion of the assessment.
- Note: Learner assessments must be kept after verification and must not be handed back to learners as the assessments may still be live.
- Learners who do not achieve at the first attempt may take no more than two further assessment papers (or two more of the same task from different Writing or Speaking & Listening assessment papers) in one academic year. Learners who do not achieve in Reading must resit all 3 tasks from another assessment paper(Ascentis)

Storage and transport of assessment materials

- Once assessments have been printed, checked and contextualised if necessary, they must be sealed inside envelopes and securely stored.
- When transporting assessments to a community venue the assessments can be removed from the centre's approved secure storage in their sealed envelopes to accommodate appropriate travel time to the venue.
- The assessments must: be transported to a venue in these sealed packets/envelopes in a secure locked container, such as a locked briefcase; travel with a person authorised by the head of centre and the exams officer.
- The centre will keep a transport log detailing names of those handling the papers, date and time of removal from storage, transport and security measures, time of arrival at each location, and storage arrangements at each approved location.
- All exam venues must be available for the purposes of inspection.
- The head of centre remains accountable for ensuring every examination delivered at any exam venue meets the requirements of these instructions

Planning and preparing for assessment



ELATT's in-person classes typically undertake assessments at the time of their regular class under supervision of their tutor who is also the Assessor. Online students will travel to ELATT or to an ELATT ESOL community venue for their assessments - whichever is most convenient. An invigilator will supervise these students. The invigilator then takes their papers back to ELATT and the tutor/Assessor comes in person for marking.

- Prior to examination, assessors should submit the candidate list to the programme manager/exams officer who will register the candidates on edexcelonline/ QuartzWeb or other platform within the specified timescale.
- The candidate's identity is verified through initial registration on programme.
- Learners must be given advance warning of the date, time, conditions and resources they should bring.
- While assessments can take place at any time and on any date, all reasonable steps must be taken to ensure there is no collusion between learners.
- Appropriate forms for each learner (typically Assessment Record and Authentication Sheet) must be completed and signed by the learner and the assessor/invigilator for each controlled assessment sat. These should be retained with the paper and submitted for standards verification.
- Assessors must check re-sit rules for their subject/level. Eg for FS English Reading/Writing and Maths, learners have to wait at least 14 days and then sit the assessment using a different paper. The tests should be rotated until the controlled assessment is passed. Centres are required to keep a log of controlled assessment tests for each learner. For S&L, learners only need to take the re-task they did not pass, again with a different activity.

Administering the assessment

- The environment must allow learners to work without disturbance or interruption.
- Learners must be identified. The assessor can verify identities if they know the learner.
- Assessment materials should be collected just before the assessment.
- The room should be set up so that learners cannot see each other's work.
- A sole Assessor should be able to summon help without leaving the room.
- The Assessor must be aware of registered access requirements and make adjustments.
- The Assessor is responsible for quality control as follows:
 - Explaining to learners that they are the Assessor, not tutor for purposes of assessment
 - Reading the instructions
 - Ensuring learners have the resources they need but no others (rough notes must be made on the assessment materials).
 - Handing out the materials just before the start of the assessment.
 - Ensuring there are no display materials which might help candidates
 - Ensuring any relevant posters are displayed (eg JCQ Warning to Candidates and JCQ Mobile Phone poster for FS)



- Ensuring learners understand what they have to do
- Supervising and being alert throughout/not leaving the room
- Not giving additional support
- Giving the time allowed but not giving extra time
- Collecting learner work and ensuring it is correctly labelled.
- Completing all paperwork and assessment templates
- Returning marked work to secure storage
- Returning unused materials for destruction
- Reporting any concerns regarding the integrity of the assessment to Pearson.
- Learners should not leave the room unaccompanied during the assessment..

SLC Assessments (FS)

- Recording equipment must be checked in advance.
- SLC assessments must be recorded on video (18+) or audio (under 18).
- The camera should be mounted on a tripod or other secure base
- The candidate should be clearly visible in the middle of the screen in sharp focus, looking at the camera and without sunglasses or tinted glasses.
- Equipment must be checked before the assessment and files must have clear video/audio.
- Recordings should be labelled with the name of the interlocutor/assessor, the candidates' name(s) and number/task completed.
- The whole assessment should be recorded.
- Note taking is only allowed when instructed by the assessor.
- Recordings must be held securely for three years.

Ending/marking the assessment

- All assessments must be clearly named. If work is printed, the Assessor or Invigilator must carefully check any printed work to check names have been included. Any files should then be deleted.
- Work must be marked in line with the mark scheme and qualification specification. This should not be done in a public place.
- Learner mark sheets (Learner Observation and Achievement Record for SLC) are provided in the assessment pack.
- ELATT IQA will verify the marking and store assessments until after the EQA visit.
- Other documentation must be kept for a minimum of three years: (1) IQA feedback to assessors; (2) IQA related documents, eg meeting minutes; (3) tracking documents of assessments sat; (4) documents created relating to the achievement of learners' assessments.
- If a learner has not passed, they should be given formative feedback, not the controlled assessment.



- There is a maximum of three opportunities to achieve is allowed in each academic year using three different assessment papers or tasks. Learners must take a different paper for reading and in speaking and listening and writing units they can sit for the task they did not achieve. All assessments must be made available for EQA.

5. Controlled assessments: IQA and Certificates

Moderation of Assessment:

- Tutor/Assessors come on site to mark their students' assessments. If this is not possible, an alternative assessor will be found. Assessors must have participated in the range of quality briefings and CPD, including standardisations, before carrying out assessments.
- Assessors are encouraged to highlight any ambiguities in the marking scheme through the tutor group so that these can be swiftly clarified.
- Once the assessments have been carried out, the assessor returns to the papers to secure storage and informs the internal verifier, who in turn IVs 40% of the sample.
- If discrepancies are found or the marking scheme has not been correctly applied, 100% of the sample will be IV'd.
- Quality leads and senior Tutors will come together in termly meetings to review the quality of evidence, ensuring verification decisions are accurate and consistent.
- A password-protected sampling plan will be emailed to the Standards Verifier. Original samples must be sent as requested.
- For FS SLC, two video recordings per level to be uploaded for EQA (Ascentis requirements to be clarified)

Certification (Edexcel)

- Once IV sampling has been completed and reported back to the centre, programme manager/co-ordinator can then apply for certification to the awarding body within 2 weeks of receiving IV report. Only the programme manager/co-ordinator is authorized to carry this out and is aware of the procedures for applying for certification.
- Certificate is applied for only in the case of full award or units towards full awards being achieved.
- If there any errors in applying for certification, certificates are destroyed or returned to the awarding body; awarding body is informed of errors and system changes are applied by the awarding body.
- If there are any spelling errors on the certificates received by the awarding body, certificates are given to the programme administrator who contacts the awarding body to request a replacement certificate. This should take place within two weeks of certificates being received by the centre.

6. Access arrangements and reasonable adjustments



Access arrangements allow learners with specific needs, SENs, disabilities or temporary injuries to access the assessment without changing the demands of the assessment.

Reasonable adjustments are required when a learner who is disabled within the meaning of the Equality Act 2010 would be at a substantial disadvantage in comparison to someone who is not disabled. This is a legal obligation for both ELATT and the awarding body.

This means that Centres are able to consider the individual needs of learners and there is no requirement to evidence the application of a Reasonable Adjustment if a learner requires up to 25% extra time. If learners require longer than this, however, Centres should refer to the Reasonable Adjustments policy. (Ascentis)

The Head of Centre and SENCo/Disability & EHCP Liaison Officer are accountable for ensuring access arrangements and adjustments are made.

- The SENCo/Disability & EHCP Liaison Officer to ensure assessment/testing of candidates takes place in good time.
- The SENCo / exams officer ensure that access arrangements and reasonable adjustments are logged internally for all applicable students as soon as possible after the beginning of the course.
- The exams officer/SENCo to ensure a record is kept of all centre-delegated adjustments to ensure candidate needs are met
- Some centre-delegated adjustments may require recording, eg Pearson FS 25% extra time must be recorded on a Centre Delegated Access Arrangements Form (with appropriate evidence of need).
- The SENCo to ensure non-delegated centre adjustments are submitted and approved within the timescales set by the awarding body (eg 6 weeks for Pearson FS).
- The SENCo to ensure supporting evidence of learner need is retained by the centre and made available on request for inspection purposes.
- The SENCo to ensure that the learner has provided their written and signed consent to their personal data being processed for access arrangements or reasonable adjustments.
- The exams officer/quality lead to ensure both invigilators and those acting as a reader, scribe, oral language modifier, or communication professional are appropriately trained and familiar with the regulations and the access arrangements specific to the individual and qualification and known to the candidate before the assessment.
- The exams officer/quality lead must supply any additional exam room paperwork relating to recording access arrangements.
- Assistance given by readers, scribes, communicators and practical assistants must not constitute an unfair advantage or disadvantage and must not compromise the exam. A tutor or relative of a candidate may not act as any of the above.



- The JCQ guidelines should be consulted together with awarding body documentation. <https://support.pearson.com/uk/s/article/Special-Requirements-Access-Arrangements-Special-Considerations>
- Clarification should be sought from awarding bodies where necessary, e.g. special.requirement@pearson.com
- Refer to e Ofqual's Specifications in relation to the reasonable adjustment of general qualifications (publishing.service.gov.uk)

Extenuating Circumstances (ECs) are defined as circumstances which are unexpected, significantly disruptive and beyond a candidate's control, and which may have affected their ability to attend or to complete an assessment. In these circumstances, the exams officer should endeavour to support the student(s) by reporting any extenuating circumstances to the relevant awarding body (eg uk.special.circumstances@pearson.com), using the appropriate form provided.

7. Malpractice and Maladministration

This policy relates to suspected or actual malpractice and maladministration on the part of candidates, centre staff and any others involved in providing the qualification under consideration.

Maladministration

Maladministration is essentially any activity or practice which results in non-compliance with administrative regulations and requirements and includes the application of persistent mistakes or poor administration within a centre (e.g. inappropriate learner records). Definition from Ascentis

See Ascentis policy for comprehensive list of examples of maladministration, including: failure to follow regulations with regard to any aspect of controlled assessment.

Malpractice

Malpractice is essentially any activity or practice which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and/or the validity of certificates. It covers any deliberate actions, neglect, default or other practice that compromises, or could compromise:

- *the assessment process*
- *the integrity of a regulated qualification*
- *the validity of a result or certificate*
- *the reputation and credibility of Ascentis*
- *the qualification or the wider qualifications community.*

Malpractice may include a range of issues from the failure to maintain appropriate records or systems to the deliberate falsification of records in order to claim certificates. Definition from Ascentis policy



Malpractice by candidates during assessment or exam

- If a candidate is suspected of malpractice, or is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room.
 - The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.
 - The invigilator must record what has happened.
 - Wherever possible, the invigilator should remove and keep any unauthorised material that a candidate may have in the examination. If necessary, the invigilator should summon assistance

Head of curriculum/quality leads may withdraw a candidate from an exam if they are causing continuous disruption.

- If candidates commit malpractice the awarding body may decide to penalise them which could include disqualification. Centres should warn candidates of the possible penalties, including through posters and invigilator scripts.
- Invigilator must report any instances of irregularities or misconduct in relation to a test to the head of curriculum/quality lead.
- The curriculum head will report all cases of suspected or actual malpractice to the relevant awarding body through the channels listed below.

Centre Malpractice

See Ascentis Malpractice policy for a useful and comprehensive list. This can include denial of access, failure to carry out assessments or moderations or allowing candidates to breach regulations, eg by bringing in smart watches or by plagiarising, as well as giving inappropriate assistance to candidates during assessment.

- Malpractice to be reported to the the relevant awarding body by the curriculum head through the channels listed below.

Reporting malpractice

- All cases of suspected or actual malpractice, whether involving learners, invigilators or other persons must be reported to the awarding body in accordance with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures, and provide such information and advice as the awarding body may reasonably require from <http://www.icq.org.uk/exams-office/malpractice>
- For Pearson FS, full details of the incident, including names and roles of individuals involved as well as signed statements must be emailed to: pqsmalpractice@pearson.com
- For Ascentis, the centre must immediately contact the quality assurance team qualityassurance@ascentis.co.uk stating (a) the nature of the breach, (b) the date of the breach, (c) the qualification title, mode and set of the assessment paper.



8. Emergencies and Contingency

Invigilators should be aware of emergency evacuation procedures below as well as, where appropriate, any instructions from relevant local or national agencies., eg <http://www.icg.org.uk/exams-office/ice---instructions-for-conducting-examinations>.
<https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-forhandling-bomb-threats>.

Emergency Evacuation Procedure during an exam or controlled assessment

- Stop the candidates from writing
- Collect attendance register and evacuate the room in silence, in line with instructions
- Ensure candidates leave all question papers/answer booklets, resource docs and rough paper in the exam room.
- Do not close down software
- Lock the room if possible
- Supervise candidates closely while out of the room to ensure there is no discussion about the examination.
- Make a note of the time of the interruption and how long it lasted
- On return, allow the candidates the full working time set for the exam.
- If there are only a few candidates consider the possibility of taking the candidates (with examination materials) to another place to finish the examination.
- For software, hardware communication failures where a candidate has been using a workstation, they are allowed to continue at a different workstation or at a later time without loss of working time. In extreme cases it might be preferable to change to paper assessment
- Make a full report of the incident and the action taken and send to the awarding body eg examsolicers@pearson.com

In the case that it is not possible to administer exams safely due to covid-19, the exams officer/quality nominee must keep up to date with instructions from awarding bodies by subscribing to emails and checking websites weekly.

In the case that exams are changed to CAGs (centre assessed grades), existing internal verification processes should be followed unless these vary from awarding body instructions.

Covid-19 Contingencies:

Exam planning must be done with reference to Elatt's risk assessment and Covid policy.

- Use 5-day window to allow flexibility if students are tested positive/sick
- Request extended window if cases rise
- Managers to provide additional invigilation if sessions need to be in smaller groups



- Exams officer to ensure that (a) all scheduling and other information is in shared folder and (b) other staff are able to access Edexcelonline in case of staff sickness.

Contingencies relating to exam officer/staffing

- The exams@elatt.org.uk address has a distribution list, so that communications are not missed in the event of staff absence.
- A secure room key is kept in a key safe controlled by a keypad. In the event of all three keyholders being absent, this code and the safe code can be shared with a senior manager.

Contingencies relating to venue

- In the event that the venue cannot be used on the day for whatever reason, the Whitmore Centre or the Trinity Centre (local community centres) would endeavour to accommodate the exam session.

9. Appeals

Please refer to appeals policy for portfolio assessment.

- All candidates must make enquires post results through the centre.
- Enquiries must be received in writing by the candidate.
- Candidates must provide written consent for re-marking and access to script services offered by the awarding body.
- Submit requests electronically for enquiries about results and access to scripts by the deadline(s) in accordance with the JCQ publication Post-Results Services;
- Submit requests for appeals in accordance with the JCQ publication A guide to the awarding bodies' appeals processes ;
- Ensure outcomes of enquiries about results and appeals are made known to candidates

Internal Appeals

If a candidate does not agree with a centre's decision to not support an enquiry about results or an appeal, the following must apply:

- The candidate will have a recorded meeting with the Head of Curriculum for the vocational area to try to resolve the dispute and where possible offer a chance to re-sit examination in the case of examination.
- If the dispute cannot be resolved internally, the centre will inform the Awarding Body.