



## Policies and Procedures for the conduct of controlled assessment:

**2019-2020\***

\*The document may be subject to changes/updates during this time.

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### **Aims and objectives of the policy**

To ensure controlled assessment is carried out in accordance with awarding body requirements, and appropriate policy is in place for malpractice and appeals. A controlled assessment is also known as an examination (exam) that is any externally assessed component of a qualification which is undertaken under exam conditions. This may additionally be referred to as a “test”, “on-screen test” or “tested unit”.

### **This policy should be read in conjunction with the following:**

OCR Instructions for conducting examination: Q:\SD\SKILLS FOR LIFE AND WORK\6 Exam Admin\OCR\OCR FS Handbooks

JCQ Instructions for conducting examinations: <http://www.jcq.org.uk/exams-office/generalregulations>

Pearson Instructions for conducting examinations: Q:\SD\SKILLS FOR LIFE AND WORK\6 Exam Admin\Edexcel QCF Exam admin\2019-2020

*These Instructions have been created to enable our centres to administer Functional Skills and Digital Employability examinations consistently and securely, thereby helping to maintain the integrity of the assessment process. 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.*



## Quality Assurance for registration and delivery of controlled assessment

### Assessment: Staffing

- 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.
- Prior to examination, assessors should submit the candidate list to the programme manager/co-ordinator/ who will then register the candidates on edexcelonline/OCR interchange/ <https://secure.ocr.org.uk/>
- Candidate's identity is verified through initial registration on programme.

### Training and information

- 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.
- Training will also take place for new staff undertaking invigilation responsibilities as well as any staff providing access arrangements.
- Information from awarding bodies is held securely in the exams drawer.

### Certification

- 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.
- Candidates are notified by the programme administrator of the receipt of their certificates by the centre and asked to collect in person. Candidate signs and dates a spreadsheet as confirmation of collection.
- A further copy of certification is held on file and scanned and sent to the funder.
- For OCR claims, quality lead will register candidates, make claims, submit an online claim and submit work to the OCR examiner-moderator.



### Centre Inspections

- Our centre is permanently staffed between 9am and 5.00 pm Monday to Friday except for public and school/college holiday and is not delivering exams or expecting delivery of any examination materials.
- A senior member of staff or a member of the exams office is available to receive delivery of examination materials, log their receipt and place them in the inspected and approved secure storage.
- OCR 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.
- Our centre must co-operate with any visit from an inspector, including giving access to our secure storage.

### Checking exam paper packets

- 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.
- These are adults with an appropriate level of responsibility within the centre; and are not be current students at the centre
- On receipt of paper packets, still in their despatch packaging, there should be moved immediately to the secure room for checking and transfer to the centre's secure storage facility.
- Checking is done on the day the question 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.
- Inform OCR immediately if there are any problems, call OCR's customer contact centre on 02476 851509, e.g. if there are any problems with the packets received be it them being opened or damaged in transit or damaged or received material in error or the material does not meet our requirements.
- OCR must be informed immediately if the security of the question papers is put at risk such as natural disaster, fire, theft, loss, damage or any other circumstances which render the existing accommodation or secure storage of examination materials at risk
- NB: Modified question papers may arrive separately from the main despatch of question papers
- **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).**



- \*Administration includes initial receipt of confidential materials, secure storage, movement and preparation of materials for scheduled assessments, and registration, secure storage and return of materials to OCR after scheduled exams are completed.

### **Storage and delivery of Test Materials**

“Secure storage” refers only to those facilities which have been inspected and approved by JCQ and/or OCR, as meeting the security requirements in this document or the JCQ Instructions for conducting examinations.

We must inform OCR of any change of address and/or changes of our secure storage – whether it is planned or as a result of unforeseen circumstances. We should call OCR’s Customer Support Centre - 02476 851509 no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility using reference must be made to the JCQ NCN checklist accessed:

<https://www.ocr.org.uk/administration/ncn-annual-update/> and also notify Pearson Edexcel: [examsofficers@pearson.com](mailto:examsofficers@pearson.com)

### **Conditions of storage**

- Question papers and any other confidential material (including downloaded materials and completed candidate scripts) must be stored securely
- Papers are stored in a non-portable safe (OCR) or non-portable filing metal cabinet (EDEXCEL)
- Examination materials must only be accessed in accordance with OCR’s specific instructions.
- Examination and live assessment materials must be stored securely at all times both before and after examinations.
- 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.
- Inform OCR if there are any problems.

### **Handling Question papers/Examination materials**

- Examination Materials must always be transported securely and must only be held overnight in inspected and approved secure storage.
- If circumstances are such that a packet of question papers needs to be split, ie: exams are taking place at a number of exam venues and/or over several days (only for legacy functional skills qualifications), 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 Reformed Functional Skills only – centres must refer to the attendance list included with each despatch of question papers to ensure that they remove the correct question paper variant for each candidate.



- If candidates sit the wrong question paper variant OCR will investigate the incident as **suspected malpractice**.
- 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).

### **Travelling between venues: (OCR)**

- 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.
  - This can be any time on the day the exam is scheduled to take place, without requesting permission from OCR.
  - When travelling between the centre's secure storage and exam venue(s), examination materials must be kept securely at all times, before, during and after the exam.
  - They must:
    - a) be transported to a venue in their sealed packets/envelopes in a secure locked container, such as a locked briefcase;
    - b) travel with a person authorised by the head of centre and the exams officer;
    - c) be securely transported and, if not despatched immediately, returned to the centre's inspected and approved secure storage after the exam.
      - At alternative exam venues question papers must remain in their sealed packets in secure storage and only removed to be taken to the examination room 60 minutes before the scheduled exam. Or, 90 minutes if several rooms at the centre's main site are being used and you need to make up packages to match the number of candidates in each room.
      - For legacy functional skills qualifications this would be 60/90 minutes before the first scheduled exam within the five day test window determined by the centre.
- For reformed functional skills qualifications this would be 60/90 minutes before the first exam on the scheduled exam day.
- All exam venues must be available to OCR 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 60/90 minutes before the next scheduled exam.

### **The exam room**

- Display material (such as diagrams, wall charts and projected images) which 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.



- The Warning to Candidates poster and the Mobile Phone poster must be displayed in a prominent place outside the examination room
- Candidates personal belongings should be outside the room
- board/flipchart/whiteboard should be visible to all candidates showing the a) centre name, centre number, subject title; and b) the date and actual starting and finishing times of each examination.
- 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.
- 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 created 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 OCR upon request.
- Candidates with access arrangements must be identified on the seating plans.
- No candidate should be allowed in the designated examination room until the examination preparation is complete
- They are invited to enter the room, under supervised conditions, to start their examination.
- You must ensure that there is adequate time to set up the room and clear the room before and after the exam
- Any candidate suffering from, or suspected of suffering from, an infectious or contagious disease must take the examination in a separate room in which all instructions for conducting examinations can be applied. a) You must keep the candidate's script separate from other scripts. b) You must not despatch the script until you have sought advice from OCR.

### **Supervision of candidates and staff**

- Centre staff (including invigilators) must not read/review the content of any question paper/on-screen test.
- Centre staff involved in the delivery of the exams are only required to read/check the instructions/details on the front of the paper (the rubric) to ensure the correct exam is being delivered and regulations followed
- Where a number of candidates are taking exams throughout the scheduled exam day (or 5 day test window for Legacy Functional Skills) staff and candidates should not engage in any



unfair or dishonest practice before, during or after the exam that would result in any candidate having an unfair advantage/disadvantage over another candidate. These include:

- a) Candidates communicating or attempting to communicate the contents of their exams with anyone before the end of the day on which the exam is scheduled or, for Legacy Functional Skills, during the 5 day testing window.
- b) Candidates who are due to sit the same exams after their peers trying to elicit information on the content of the question paper/on-screen test.
- c) Publishing the content of question paper(s), or making reference/inference as to the content of exams/on-screen tests, including on social media, unless authorised by OCR.

Candidates and staff should be informed before their exam/the exam window begins of the requirement to keep the content of any exam (on-screen or paper) secure, and invigilators should remind candidates of this at the beginning of each exam

- In all circumstances the candidate(s) must be supervised while taking an examination.
- The candidate(s) must not be in possession of an electronic communication/storage device or have access to the internet, or data stored on the hard drive of a computer, unless explicitly required by the examination paper
- Candidates may only sit a specific paper once within a test window. If a centre allows a candidate to sit the same test more than once within the test window this will be reported as suspected malpractice and sanctions/penalties will be imposed on the candidate and/or centre.

#### **Resources for examinations**

- The centre and invigilator must refer to the subject specification available on OCR's website and/or the rubric on the front of each question paper/answer booklet to determine the resources candidates are allowed or must not have access to for each exam.
- Candidates may be allowed to use a dictionary for some examinations. Where they are permitted, dictionaries must not be annotated.
- You must give candidates prior notice that they are responsible for bringing with them any materials needed for the examination.
- 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.
- 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.
- If candidates have any unauthorised material in an examination (whether or not they intend to use it), this may be considered as malpractice. In such circumstances you must refer to the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures- <http://www.jcq.org.uk/exams-office/malpractice> and report the incident to OCR.
- You must warn candidates that taking a resource into an examination may be considered as malpractice in the same way as having any other unauthorised items.



- Ensure stocks of toner, ink and paper are sufficient to meet the demands, where required.

### Using calculators

- Invigilators must check whether the exam they are invigilating allows the use of calculators.
- This can be found in the subject specification available on OCR's website and/or the rubric on the front of each question paper/answer booklet.
- For question papers where the use of calculators is allowed,
  - a) Candidates are responsible for making sure that their calculators meet the following regulations.
  - b) Invigilators must check that candidates' calculators meet the following regulations.

Candidates must be told these regulations beforehand and be familiar with the Information for candidates taking examinations (paper based and on-screen)

Calculators must be:

- of a size suitable for use on the desk;
- either battery or solar powered;
- free of lids, cases and covers which have printed instructions or formulas

Calculators must not:

- be designed or adapted to offer any of these facilities: -
  - language translators;
  - symbolic algebra manipulation;
  - symbolic differentiation or integration;
  - communication with other machines or the internet;
- be borrowed from another candidate during an examination for any reason;
- have retrievable information stored in them - this includes:
  - databanks;
  - dictionaries;
  - mathematical formulas;
  - text

An invigilator may give a candidate a replacement calculator as long as it meets the above requirements

### For Reformed Functional Skills Maths Levels 1 and 2 only

Candidates take two question papers - one where a calculator is required and the other where a calculator is not allowed.

- a. The two papers must be taken in one sitting, ie: candidates should not leave the exam room between the papers. If candidates need to leave the room they must be accompanied.
- b. b) The calculator paper must be taken before the non-calculator paper.
- c. The calculator used must include the following functions:
  - Four operations(+, -, ×, ÷)





- Square (x2)
- $\pi$  button
- brackets
- Memory facility
- Positive/negative

#### Use of exam papers

- If circumstances are such, i.e.: exams are taking place at a number of exam venues, and/or over several days, that a packet of question papers needs to be split, as few packets as possible should be opened and the sealed question paper packet must be opened in the secure area.
- The question papers extracted from the sealed question paper packet must be placed in a sealed envelope and transported securely to the allocated room or satellite exam venue(s).
- 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 1 hour before the next scheduled exam.
- If papers are being transported to an alternative venue they can be removed from the secure storage to accommodate appropriate travel time to the venue.
- This can be any time on the day the exam is scheduled to take place, without requesting permission from OCR.
- An invigilator must be present in the exam room at all times. When out of the secure storage, question papers must always be under the supervision of an adult authorised by the head of centre and exams officer.

#### Resources for examinations (Edexcel, OCR)

- Candidates should have access only to resources need for the test and may not have access to anything that may compromise the integrity of the test.
- Audio-Visual recording equipment should be of good quality and fit for purpose. Tests downloaded must be of good print quality.
- Please refer to Guidance and instructions for conducting tests [www.edexcel.com](http://www.edexcel.com) for further information about resources required for each test.
- You should consider using one workstation to monitor the progress of candidates sitting the test via the Invigilate tab on Surpass
- Use of dictionaries – monolingual dictionaries can be used for FS ICT/Maths/English. In the case of bi-lingual dictionaries in use for FS exams invigilators to check that no notes have been added to the dictionaries. Please refer to section 8 of OCR ICE for further guidance on use of bi-lingual dictionaries <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>
- There must be continuous supervision, necessary facilities made available to candidates, time restrictions to be complied with, work should be independent and unaided.
- Bags, mobile phones, iwatches, folders, tablets, MP3/MP4 players, or similar device with an electronic communication/storage or digital must not be brought into the exam room.

Following the invigilator's announcement any mobile phones or other unauthorised items in the candidates' possession must be turned off or made silent and must be handed to the invigilator prior to the examination starting.



## **Access Arrangements – including invigilation**

Access arrangements for Functional Skills qualifications are no longer covered by the JCQ publication Access Arrangements and Reasonable Adjustments although that document is still relevant for other vocational qualifications. Information about access arrangements specific to Functional Skills qualifications is now located on the OCR website at <https://www.ocr.org.uk/administration/stage-1-preparation/access-arrangements/>

Centres must ensure that both invigilators and those acting as a reader, scribe, oral language modifier, or communication professional are appropriately trained and familiar with these instructions, the access arrangements specific to the qualification and the relevant parts of the JCQ Access Arrangements document.

The appropriate forms must be completed and submitted. These are available on the OCR website: <https://www.ocr.org.uk/administration/stage-1-preparation/access-arrangements/>

- The head of centre remains accountable for ensuring every examination delivered at any exam venue meets the requirements of these instructions. (See section 1.10)
- Head of Curriculum/Quality leads to ensure exams take place in a suitable venue both on or offsite and can be supervised accordingly.
- Venue must free from external noises allowing candidates to work without disturbance. Provided conditions are met, it is possible for other activity to take place in the venue.
- There should be adequate heating, lighting and ventilation in the exam venue and no materials on display which could compromise the integrity of the exam.
- Seating arrangements should be arranged so that candidates cannot intentionally or unintentionally overlook each other and be evenly and well-spaced out.
  - Make sure that there are chairs available outside the examination rooms to enable those with a disability or those candidates who may simply be experiencing extreme stress or anxiety, to sit and rest before they enter the examination room.
- Advice: Centres should decide how to accommodate large numbers of candidates. The following alternatives should be considered:
  - seating candidates sitting the same test at alternate computers;
  - seating a candidate next to someone entered for a different subject or component;
  - seating the candidates before handing out their confidential keycodes. If confidential keycodes are placed at workstations before the candidates are seated, you must check to ensure that candidates are seated correctly.
- There must be no wall displays which may be helpful to the candidates.
- A reliable clock must be visible to each candidate in the exam room (an analogue or digital clock that all candidates can see clearly, and displays the correct time).
- JCQ Exam notices must be on display outside the assessment centre or room as well as OCR notices for OCR exams. This includes:
  - Mobile phone poster (A3 version)
  - Warning to candidates (A3 version)
- A board/flipchart/whiteboard should be visible to all candidates showing the,



- centre number,
- subject title and paper number;
- the actual starting and finishing times of each examination, as well as the date
  - Advice: You should carry out regular checks in advance of the examination to make sure all clocks used in the examination room are in good working order and show the same time.
- Wherever possible, for written 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 and answer booklets (as appropriate).
  - c) Candidates who are not working at individual desks must be far enough apart so that their work cannot be seen by, and contact cannot be made with other candidates
- You must create a seating plan that shows the exact position of each candidate in the examination room. Any changes made to seating arrangements during the examination must be noted on the seating plan. The seating plan must be retained by the centre and made available to OCR upon request. 5.13 Any other external examination may be held in the examination room at the same time, as long as it does not cause any disturbance.
- The correct examination question papers have been placed face-up on candidates' desks. This includes modified papers or those on coloured paper. Question papers must never be left unattended.
- Food and drink may be allowed in the examination room 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.

#### **Moderation of Assessment:**

- For moderated assessment, marks submitted by the assessor are checked by the quality lead of each department prior to final submission to the OCR moderator.
- Quality leads and senior Tutors will come together in termly meetings to review the quality of evidence, ensuring verification decisions are accurate and consistent. Please refer to standardisation policy for portfolio evidence for full standardisation strategy.

#### **Identifying candidates**

- Invigilators must establish the identity of each candidate sitting the exam.
- All candidates will be registered with awarding body prior to taking the exam by quality leads and attendance at exam is verified on the day.
- 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.



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

### **People present in the room**

- Only authorised person/s may be present in the room while the exam is taking place.
- Only candidates actually sitting the examination may be present in the examination room while an examination is taking place.
- The Head of Curriculum, quality leads must ensure the integrity of examinations at all times.
- All invigilators must carry out their duties as required by the awarding body.

### **Invigilators (from OCR ICE)**

- The invigilator is the person in the examination room responsible for conducting a particular examination session in the presence of the candidates
- Invigilators at the exam venues must be trained and understand their responsibilities
- In particular they must be able to carry out invigilation of all exams without distraction.
- 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 role of the invigilator is to ensure that the examination is conducted according to these instructions in order 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.

Invigilators must:

- a) be familiar with these Instructions
- 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.

In such cases, the head of centre must inform OCR immediately, by calling OCR's customer contact centre on 02476 851509 and sending a full written report within 7 days of the suspicion arising. Please refer to the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures, <http://www.jcq.org.uk/exams-office/malpractice>.

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 and, for reformed functional skills only, to check the appropriate question paper variant assigned to each candidate
- c) leave the examination room at any time during an exam, unless they are replaced by another trained invigilator.

The head of centre, or exams officer, or quality assurance co-ordinator must make sure that all invigilators are suitably qualified and experienced adults who must not be current students at the centre.

- a) any relative, friend or peer of a candidate in the examination room must not be the sole invigilator;
- b) For Reformed Functional Skills only - 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.
- c) For Legacy Functional Skills and Digital Employability only - While OCR recommends that tutors are not assigned as the sole invigilator to a cohort of learners whom they have directly prepared for the subject being examined, it is acknowledged that, in some circumstances, arranging alternative/additional invigilation may be impractical. Tutors can, therefore, act as the sole invigilator for learners they have prepared for the subject being examined

The head of centre, or 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) make sure invigilators understand what is expected of them;
- c) provide training for any new invigilators;
- d) provide update meetings/refresher training for existing invigilators so that they are aware of any changes to the regulations;
- e) keep a record of the training given to invigilators including attendance sheets, training materials, instructions and the date the training was given.

You must keep them for at least 1 year after the date of the training – these must be available for inspection by OCR on request

- f) make these Instructions available to each invigilator in the examination room. This may be a printed hard copy version or an electronic copy which is visible at all times via a computer;
- g) for Reformed Functional Skills exams only – provide the invigilator with the “Important Notice For Invigilators”. Hard copies of this notice are sent to centres with each package of question papers
- h) appoint at least one invigilator who must be present for each group of 30 candidates or fewer sitting written examinations
- i) appoint at least one invigilator for each group of 20 candidates or fewer sitting computer based or on-screen tests/examinations.



- j) for Reformed Functional Skills Maths on-screen tests only – where candidates are using physical calculators (their own or those supplied by the centre) . the on-screen calculator, appoint at least one invigilator for each group of 10 candidates or fewer.
- k) make sure that, if invigilators are changed, the number of invigilators present in the examination room does not fall below the required number;
- l) 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.
- m) keep signed records of the seating plan, the invigilation arrangements and the centre's copies of any attendance registers for each examination
- n) You must keep them for at least 1 year after the date of the examination
- o) If a number of examination rooms open off the same corridor, it may be possible to have a person stationed in the corridor to give or ask for help.
- p) For examinations using computer equipment, technical help should be available throughout the test(s) in case of hardware/software problems and to assist with invigilation of the test.
- q) When scheduling exams/on-screen tests consideration must be given to allow the invigilator appropriate breaks.

### **Starting the examination**

- Candidates must be under formal examination conditions from the time that they enter the room in which they will be taking their examination(s) until the point at which they are permitted to leave.
- Candidates must not talk to, attempt to communicate with or disturb other candidates once they have entered the examination room.
- Candidates must be seated accordingly, inform them that they are under exam conditions and according to the seating plan arrangements.
- An examination is treated as in progress from the time the candidates enter the room until all the scripts have been collected and the candidates have left the examination room.
  - Remind candidates when they may begin and how the test will be finished.
- No unauthorised materials must enter the exam room. This is considered a breach. Please refer to JCQ publication on suspected malpractice in examinations and assessments.
- Remind candidates of any notices and emergency procedures.
- Check that candidates have all the necessary materials to carry out the test.
- Warn candidates that they must give you any unauthorised materials. This includes any potential technological/web enabled sources of information or any product with electronic communication, data storage or digital facilities such as an iPod/iPad, tablet, mobile phone, MP3/4 player or similar device, a smartwatch or a wrist watch which has a data storage device.
- Test papers should be handed out immediately before the start of the test.
- Notify the programme manager/co-ordinator of any threats to the security of the test and  
AO



- Ensure candidates read instructions printed on the front of the paper including time allocated, ensuring they have the correct test paper; instructions can be read to candidates.
- Candidates should record personal details according to awarding body's instructions.
  - Check that the keycode you have been given is in your name
  - Enter your keycode and click "ok"
- Candidates are reminded they must follow awarding body's instructions on how to record and submit their work.
- Remind candidates' they must not communicate with each other in any way during the course of the exam unless it is a specific requirement of the exam.
- Tell the candidates when they can begin the test.
- Supervisor must not communicate any suspected errors in the question paper to the candidates unless notified in advance by the awarding body.
- Candidates must only fill in the details on the front of the answer booklet/assessment paper once everybody is seated and they have been instructed to do so.
- If a candidate thinks that they have been given the wrong question paper the invigilator must report the problem to the exams officer immediately. The exams officer should check that the candidate has the right paper or has been entered for the correct qualification unit/level. If a candidate has been given the wrong question paper this should be reported to OCR immediately by the head of centre as a security breach.

### **During the exam**

- Exam must take place under test conditions mentioned under admin guides and OCR ICE.
- The invigilator must:
  - write the date, centre number, candidate number (if applicable), your first name(s), last name, and date of birth on your question paper/answer booklet(s). This information must be included on each page of any print outs (where applicable)
  - Announce clearly to the candidates when they may complete the details on their answer booklet;
  - announce clearly to the candidates when they may begin to write their answers. The examination will formally start at this point;
  - specify the time allowed for the paper(s), and ensure candidates are given the opportunity to sit the examination/test for its full duration.
- Invigilator must supervise the candidates throughout the whole time the exam is in progress.
- Invigilator must be vigilant and aware of any emergency situations as well as record irregularities.
- Move around the exam room frequently.
- In addition invigilators must complete an attendance list, to be downloaded by the quality lead/head of curriculum.
- use the spare pages of the question paper/answer booklet for additional space to answer questions, making sure you indicate the question number the answer refers to;



- If a candidate arrives after the test has started, please ensure that candidate only sits the test if there is no undue disruption to the candidates already sitting the exam, candidates must be allowed the full time for the test.
  - Candidates who must leave the room during the test, should be accompanied by an appropriate person to ensure integrity of test is not compromised and be allowed extra time to make up for this.
  - Candidates should be made aware of the time by use of a clock or regular reminders by supervisor.
  - Centres should follow the Joint Council's document 'Access Arrangements, Reasonable Adjustments and Special consideration, General and Vocational qualifications' which is downloaded from [www.jcq.org.uk](http://www.jcq.org.uk)
  - Edexcel to be contacted regarding any access arrangements or reasonable adjustment requirements.
  - Any approval needed must be obtained prior to a student sitting a test.
  - If candidate has been given any help or support in line with JCQ this must be highlighted on the cover sheet of the particular paper.
  - You may prefer to re-schedule and allow the candidate to sit the exam later in the day/within the test window. It is important to maintain the security of exams/on-screen tests. For reformed functional skills all exams must be taken on the exam date scheduled and submitted to OCR by the centre.
  - **For reformed functional skills maths calculator paper only** – candidates cannot leave the exam room early, unless accompanied, and must stay until the last candidate has completed or the time allowed for the exam, 1 hour 20 minutes, has elapsed. They must remain under exam conditions until they have completed the non-calculator paper.
  - Question papers must not be removed from the examination room until all candidates have completed the examination.
  - At the end of the examination candidates must hand in their question papers/answer booklets/scripts, and any other material, including any resource document pages they have removed from the question paper and any rough paper they have used before they are allowed to leave the examination room.
  - All question papers, for these OCR qualifications, will remain "live" until they are withdrawn, when they may be made available on OCR's website as past papers. Therefore, except for access arrangements (see section 15) and for administration, transportation and distribution purposes, question papers/answer booklets must not be provided to or accessed by anyone (including teaching staff) at any time other than candidates while they are sitting the exam. This includes both paper based and on-screen tests. Staff administering and invigilating exams must not read or review live question papers at any time.
- For Reformed Functional Skills only:**
- You will be provided with an attendance list with each package of question papers. This list will identify the question paper variant assigned to each candidate. The invigilator must:
  - a) use the attendance list to ensure the appropriate question paper variant is issued to each candidate





- b) mark candidates as either absent or sitting the exam
- c) indicate if any modified papers are being returned
- d) indicate that unused question papers for any absent candidates are being returned with the completed question papers/scripts
- e) complete the declaration indicating the number of used and unused question papers being returned.

The completed attendance list must be returned to OCR with the used and unused question papers. Failure to complete and/or return the attendance list will be reported and investigated by OCR as suspected maladministration.

### **Irregular conduct/Malpractice**

- 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 OCR 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
- If candidates commit malpractice OCR may decide to penalise them which could include disqualification. Centres should warn candidates of the possible penalties OCR may apply.
- Invigilator must report any instances of irregularities or misconduct in relation to a test to the head of curriculum/quality lead.
- Head of curriculum/quality leads may withdraw a candidate from an exam if they are causing continuous disruption. All cases of suspected or actual malpractice must be reported to the awarding body.
- of suspected malpractice (which includes maladministration) in accordance with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures, 1 September 2019 to 31 August 2020 and provide such information and advice as the awarding body may reasonably require from <http://www.jcq.org.uk/exams-office/malpractice>

The head of centre must report to OCR immediately all cases of suspected or actual malpractice in connection with the examination. Form JCQ/M1 (suspected candidate malpractice) must be completed. This is available to download from the JCQ website <https://www.jcq.org.uk/exams-office/malpractice> and should be completed and sent to OCR as soon as possible, email: [malpractice@ocr.org.uk](mailto:malpractice@ocr.org.uk). For on-screen tests – the head of centre should also copy the email to [functionalskills@ocr.org.uk](mailto:functionalskills@ocr.org.uk).

The head of centre has a duty to monitor and report any potential or suspected malpractice by invigilators, staff members or tutors immediately using form JCQ/M2A (Notification of suspected malpractice/maladministration involving centre staff). This is available to download from the JCQ website <http://www.jcq.org.uk/exams-office/malpractice> and should be completed and sent to OCR as soon as possible, email: [malpractice@ocr.org.uk](mailto:malpractice@ocr.org.uk).



For on-screen tests – the head of centre should also copy the email to [functionalskills@ocr.org.uk](mailto:functionalskills@ocr.org.uk)

## Emergencies

In dealing with emergencies you should be aware of your centre's policy and where appropriate, any instructions from relevant local or national agencies. <http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations>.

Reference should also be made to the following document –

<https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-forhandling-bomb-threats>.

You must have a written centre policy for dealing with an emergency evacuation of an examination room, at all exam venues, which will be subject to inspection by OCR. All staff involved in the delivery of exams must be aware of and ensure they understand this policy.

- You must ensure that candidates are closely supervised if an evacuation is necessary. Refer to section 18 in the main body of this document.
- For security of assessment content and responses, ensure the test is paused for all candidates and assessment room locked which has been evacuated without closing down the software.
- The invigilator must take the following action in an emergency such as a fire alarm or a bomb alert.
  - Stop the candidates from writing.
  - Collect the attendance register (in order to ensure all candidates are present) and evacuate the examination room in line with the instructions given by the appropriate authority.
- Advise candidates to close their question paper/answer booklets and leave all examination materials, including resource documents and rough paper in the examination room.
- Candidates should leave the room in silence.
  - Make sure that the candidates are supervised as closely as possible while they are out of the examination room to make sure there is no discussion about the examination.
  - Make a note of the time of the interruption and how long it lasted.
- Allow the candidates the full working time set for the examination.
- Make a full report of the incident and of the action taken, and send to Awarding Body.
- When they are able to resume the exam/test allow the candidates the full working time set for the examination.
- If there are only a few candidates consider the possibility of taking the candidates (with examination materials) to another place to finish the examination. Candidates must be given the opportunity to sit the examination for its published duration.
- 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.
- For re-starting the assessment after an un-planned break should ensure that the invigilator:
  - controls the restart
  - re-sets the timing, where necessary



- ensures that candidates can re-access their previous responses where this is technically feasible and permitted by the assessment regulations.
- Candidates must remain supervised if possible outside the test room, programme manager/supervisor may consider the following circumstances for resuming the test:
  - If a test has just started, candidates may complete the test, ensuring candidates are given their overall time allowance.
  - If the majority of time for the exam has elapsed, the candidates may be submitted to the awarding body incomplete.
  - It may be possible to take candidates with existing test papers to a different, suitable venue to complete the exam.
- If emergency results in evacuation, the Head of Centre must ensure awarding body is notified.
- If examinations resume under the conditions above, please ensure incident is recorded on the test paper and if possible when the interruption occurred.
- Centre should make a full report of the incident to the awarding body.
  - As each incident will be different, advice must be sought from OCR as soon as it is safe to do so. This is particularly so where the centre is concerned about the security of the examination(s)

### **Ending the Exam**

- Only a five minute warning to candidates is permitted. Where candidates have different finishing times the centre must consider the impact on them
- Any other time warnings/reminders are at the centre's discretion but must be brief, relevant and should be limited to three occasions or less during an exam of 1 hour or less
- Candidate is allowed to leave the test (but not in the final 10 minutes of the exam) provided there is no disruption to candidates and integrity of test not compromised. Candidates cannot be re-admitted to the exam.
- Where a test is on-demand (OCR) they may leave the exam room. The invigilator must ensure that all examination materials are collected and other candidates completing the test are not disturbed.
- 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 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
  - complete the invigilation certificate, if one is provided
- Candidates must be given full time allowance even if they arrived late. Supervisor should check that candidates have identified their work as instructed.



- 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 to OCR with the answer booklets.
- Check that candidates have used correct centre numbers and candidate numbers.
- For reformed functional skills only – check that the question paper variant on the question papers match the attendance list. If there is a mismatch the invigilator must inform the head of centre who must immediately report the incident to OCR as a security breach. Any incidents of candidates sitting the wrong paper variant will be investigated by OCR as suspected malpractice.
- 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
- After collation the tests should be handed to head of centre/quality lead.
- Attendance list must be submitted to programme manager/quality lead and attendance submitted online in a timely manner.
- Question papers, or the content of a question paper, including tests downloaded to SecureClient and taken offline, must never be retained after examinations or used for teaching or examination practice
- All work must be verified.

### **Despatching of Test Materials**

- Keep scripts secure from the time they are collected from candidates until they are despatched to the examiners or the awarding bodies;
- Follow the requirements in the section "Submitting materials for marking" of the appropriate OCR Admin Guide <http://www.ocr.org.uk/ocr-for/exams-officers/adminguides/>;
- Ensure cover sheets accompany scripts where appropriate.
- Despatch scripts without delay on the day of the examination. If scripts have to be retained overnight they must be kept under secure conditions and despatched the next working day;
- Respect the confidentiality of scripts by not allowing them to be read or photocopied by any person prior to marking, without the permission of the awarding body;
- Remove data files from candidate's user areas at the end of the examination window or after each session, if feasible.
- Test papers will be regarded as live until notified by the awarding body that they are practice test materials. Centres must continue to store test material securely once received back from awarding body. Test materials shouldn't be destroyed until certification has been issued and checked. (Edexcel Only)



- Test paper not to be given to students after a test has been sat. Formative feedback can be given if a candidate has failed a test. Assessors must give appropriate feedback according to the pass criteria. Candidate can be advised as to which skills more need work before sitting the test again.
- For Legacy Functional Skills you must complete and return the “Important Notice” (A507) and other examination materials to OCR no later than ten working days after receipt. Refer to Administration guidance available on OCR’s website <https://ocr.org.uk/administration/stage-3-assessment/vocational-qualifications/paperbased-tests/functional-skills/#send-scripts>, including the “dates calculator” to ensure you are compliant with these regulations.
- For Reformed Functional Skills you must: a) complete and return the attendance list and match the test reference numbers on the address labels and the attendance list to identify which question papers should be returned to each allocated examiner. .
- Question papers, or the content of a question paper, including tests downloaded to SecureClient and taken offline, must never be retained after examinations or used for teaching or examination practice.
- despatch examination materials to the address provided on the same day of the examination wherever possible; b) ensure that any examination materials that cannot be despatched on the scheduled day of the examination are despatched no later than the next working day;
- return all examination material by a secure trackable method and retain details as proof of despatch until after results are issued, and to enable missing packages to be tracked/found;

### **Post-Results Services and Appeals**

The centre agrees to:

- Distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees).
- Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances.
- A record should be kept of the certificates that are issued;
- Retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue;
- Destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner.
- Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body.
- A record of certificates that have been destroyed should be retained for four years from their date of destruction.
- However, candidates should be informed that some awarding bodies do not offer a replacement certificate service.
- In such circumstances the awarding body will issue a Certifying Statement of Results;



- Return any certificates requested by the awarding bodies. Certificates remain the property of the awarding bodies at all times.

## 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.

## Access Arrangements

- Special Arrangements team of Awarding Bodies, to be consulted prior to a candidate sitting and being registered for an exam if they are unsure the candidate does not meet the skill set required of the exam.
- The centre must determine the needs of individuals within the classroom and must be part of normal working practices.
- The centre should apply for access arrangements/reasonable adjustments as early as possible (see below for applying for modified papers) but no later than 6 weeks before the date of the examination for which they are required
- OCR's Centre Handbooks/subject specifications provide more detail about what access arrangements are permissible for each Functional Skill qualification. These are available to download by subject/level from <http://www.ocr.org.uk/qualifications/by-type/functionalskills/>
- Centre refers to the JCQ publication Access Arrangements and Reasonable Adjustments [www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration](http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration).
- For Functional Skills Access: Information about access arrangements specific to Functional Skills qualifications is now located on the OCR website at <https://www.ocr.org.uk/administration/stage-1-preparation/accessarrangements/>.



- The Digital Employability Centre Handbook is also available on the OCR website - <https://ocr.org.uk/qualifications/vocational-qualifications/vocational-qualifications-qcfdigital-employability-entry-level-1-3-level-1-award-05807-05810/>.
- Access arrangements given must be documented on the front cover sheet.
- For modified papers centres should refer to the Modified Papers section on the OCR website <https://www.ocr.org.uk/administration/stage-1-preparation/access-arrangements/>. You must submit your application using the appropriate form at least 6 weeks before the scheduled test date.

### **General Guidance for special arrangements for exam candidates**

Where a person is appointed to facilitate an access arrangement, i.e.

- a practical assistant
- a prompter
- a reader or computer reader
- Scribe/Speech recognition technology
- a scribe
- a communication professional
- A language modifier

Exam officers must ensure that both invigilators and those acting as a practical assistant, a prompter, a reader, a scribe, a communication professional or an oral language modifier fully understand the respective role and what is and what is not permissible for the particular paper/component being examined at that time.

- Additionally, exam officers must ensure that those acting as a practical assistant, a scribe, a communication professional or an oral language modifier are provided with the appropriate cover sheet prior to the examination commencing.
- This will enable the cover sheet to be completed during the course of the examination and accurately reflect the activities performed by the practical assistant/scribe/communication professional/oral language modifier, as appropriate.
- Advice: Photocopy and laminate the appropriate sections of the JCQ publication Access Arrangements and Reasonable Adjustments so that invigilators and those acting as a practical assistant, a reader, a scribe, a communication professional or an oral language modifier understand the rules. Photocopy and laminate, as appropriate, the Memory Aids
- Identify candidates with access arrangements on your attendance list and on seating plans. Also indicate any person assisting the candidate on the seating plan.

### **Practical Assistants**

- Candidates using a practical assistant may need to be accommodated in another room.
- Where the candidate and practical assistant are accommodated in another room, on a one to one basis, the invigilator may also act as the practical assistant.
- The practical assistant must be made aware, prior to the examination, of the particular task(s) he/she will be performing as specifically approved by the awarding body



- A practical assistant is required to help a candidate in practical assessments, to carry out tasks at the candidate's instruction and ensure the safety of the candidate.
- Must not constitute an unfair advantage.
- Must act strictly in accordance with candidate's instructions and not act independently of the candidate.

### **Readers**

- The centre is responsible for ensuring that the candidate and reader cannot be overheard by, or distract, other candidates.
- Where the candidate and reader are accommodated separately, on a one to one basis, the invigilator may also act as the reader.
- Where candidates require only occasional words or phrases to be read, three or four candidates may share one reader.
- The candidate will need to put up their hand or use a prompt card when he/she needs help with reading.
- If the group is accommodated separately a separate invigilator will be required
- A reader must read accurately at a reasonable rate. A reader may repeat as necessary any instructions given on the question paper, as well as the question and answers already recorded.
- A reader may assist a visually impaired candidate using tactile diagrams, graphs and tables to obtain the information which the printed paper would give a sighted candidate.
- A reader, must if required spell out any word which occurs on the question paper.
- A reader must be prepared for periods of inactivity.
- Readers cannot be used for reading tests.

### **Scribes /Speech recognition technology**

A scribe writes out answers as dictated by the candidate.

- The centre is responsible for ensuring that, if a scribe or speech recognition technology is used, the candidate and scribe cannot be overheard by, or distract other candidates. (This will also apply if the candidate uses speech recognition technology)
- A scribe must write legibly at a reasonable speed and have a working knowledge of the subject.
- A scribe must write down answers exactly as they are dictated.
- A scribe must add or draw in diagrams etc. as instructed by the candidate.
- Candidate not expected to dictate spellings, unless spelling is being assessed.
- A scribe should work at the candidate's pace.
- A scribe should not be used for writing tests.

### **Communication professional**

Where the centre has granted the candidate a Live Speaker, and/or a Communication Professional The communication professional may have access to the question paper 60 minutes before the start time of the examination in order to prepare.

- Required to communicate questions to the candidate upon request.

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- Is not a reader.
- Should give the essence of the candidate's signed response on the test paper without inferring any meaning that was not clear in the signed response.
- Candidates who are signing their responses must not be in a position to see other candidate's signed responses.
- A communication professional should work at the candidates' pace.
- A communication professional is permitted for written questions and responses but not for orals.
- Language Modifier
- The candidate and language modifier should be accommodated separately. A separate language modifier and invigilator must be available for each candidate.
- The invigilator must listen carefully and observe the conduct of the language modifier throughout the duration of the examination.
- The invigilator must countersign the cover sheet ensuring that it accurately reflects the actions of the language modifier during the examination.

**Readers, scribes, communicators and practical assistants. (Please refer to OCR admin guide for Functional Skills for further guidance)**

- When a candidate is assisted by a reader, scribe or communication professional, help must not be given with the subject matter being assessed.
- Support given must not give unfair advantage or disadvantage. It must not compromise the exam.
- Additional time may also be given and a separate room may be necessary if the candidate is to dictate responses, in which case a special invigilator will be required.
- Programme manager/co-ordinator must ensure that all of the above named, are acceptable and responsible adults, familiar with the subject matter being tested and have worked with the candidate before the test.
- A relative of a candidate may not act as any of the above.

**Other arrangements**

For the use of a bilingual translation dictionary and 10% extra time, you must refer to the guidance on the OCR website <https://www.ocr.org.uk/administration/stage-1preparation/access-arrangements/access-arrangements-functional-skills/>.

The following arrangements may be provided to a candidate at the time of his/her examinations (without prior approval): Amplification equipment, brailers, closed circuit television (CCTV), coloured overlays, low vision aid/magnifier, optical character reader (OCR) scanners

**Bilingual translation dictionaries can be used in:**

- Functional Skills examinations in Mathematics, ICT and English (with the exception of the Writing assessment) Digital Employability.
- Where permitted a bilingual translation dictionary must:
  - only be used in examinations by a candidate whose first language is not English, Irish or Welsh; and



- reflect the candidate's normal way of working within the centre.
- A standard bilingual translation dictionary must be used by the candidate. This may be an electronic bilingual translation dictionary or more typically a hard copy paper bilingual translation dictionary.
- Monolingual dictionaries (which define words and phrases) are permitted for all candidates in Functional Skills Mathematics, ICT and English (with the exception of the Writing assessment).

Translators (including web based translators), wordlists or glossaries must not be used for Functional Skills English, Mathematics or ICT.

The bilingual translation dictionary must not:

- contain/display pictures or
- provide an explanation or clarification of words and phrases; As an example, a Polish to English bilingual translation dictionary must simply be the word in Polish and the equivalent word in English.
- Any dictionaries to be used in the examination must be thoroughly checked to ensure that no unauthorised information such as notes, revision data, have been enclosed within or written on the pages of the dictionary.
- Any incident where a candidate is discovered to be using a dictionary which contains notes or revision data should be reported by the centre to OCR as suspected malpractice.
- A prompter may be permitted by the SENCo where a candidate has little or no sense of time, or loses concentration easily, or is affected by an obsessive-compulsive disorder which leads them to keep revising a question rather than moving onto other questions

### **Reading Aloud and/or using an examination reading pen**

The arrangement, as permitted by the SENCo, must reflect the candidate's normal way of working in tests and mock examinations.

- a) A candidate reading aloud to him/herself, since they persistently struggle to understand what they have read, must be accommodated separately.
- b) A permitted examination reading pen must use headphones, provided by the centre, will not have an inbuilt dictionary or thesaurus, or a data storage facility.

### **Separate Invigilation**

A candidate may only take their examinations under separate invigilation within the centre/exam venue where he/she has an established difficulty.

### **Transcript**

A transcript is a copy of the candidate's script which is made after the examination has taken place and without the participation of the candidate.

Therefore candidates suffering a temporary injury/illness or other indisposition at the time of their exam should be able to undertake the exam at a later date, when they have fully recovered.

- a) However, transcription may be used in exceptional circumstances such as for candidates:
  - whose handwriting may be hard to decipher at times (but is not illegible) or,



- who are not competent in dictating to a scribe or,
  - where the use of a word processor is not appropriate.
- b) A transcript may be:
- a full copy handwritten by a member of centre staff on a spare answer booklet/assessment paper or a full copy word processed by a member of centre staff;
  - or a partial copy where only certain words need clarification.

In this case, the original script must be photocopied and the words written clearly above the candidate's writing but not in red, green or purple ink or pencil. It may be helpful to enlarge the photocopy to A3

- c) Manual brailers will require transcription into print. Braille scripts must be transcribed by the centre. The transcriber must be competent in the Braille code concerned. Read for more information from <http://www.jcq.org.uk/exams-office/accessarrangements-and-special-consideration/forms>.

### **Word processors**

Centres must check the question paper rubric and/or qualification specification and must disable the spelling and grammar check/predictive text if these are not permitted. This also includes an electronic braille or a tablet

Centres must remind candidates that they need to:

- include their centre number, candidate number and the unit/component code on each page as a header or footer attach word processed scripts to any answer booklet/assessment paper which contains some of the answers;
- number each page appropriately;
- save their work at regular intervals;
- use a minimum of 12pt font and double spacing when printing, in order to assist examiners when marking.

### **Instructions for conducting on-screen tests**

- Please refer to the appropriate OCR administration guidance available on the OCR website [www.ocr.org.uk/on-screen-tests](http://www.ocr.org.uk/on-screen-tests) for further information about delivering on-screen tests.
- Centres must have the expertise to access, administer and support the test/examination and relevant software installed to administer the tests and demonstrate that the appropriate security systems are in place to prevent unauthorised access to the test/examination materials.
- Electronic test/examination materials must be stored securely at all times.
- The test/examination materials must only be accessed in accordance with OCR's instructions.
- Candidate test keycode information must be stored securely and only given to candidates at the time of the examination.
- The invigilator must check the identity of each candidate and ensure that the correct keycodes are issued to each candidate. The invigilator must oversee the input of the



keycode for each candidate and ensure that each candidate has checked the name on the test screen is correct.

- If, in spite of these checks, the invigilator becomes aware that a candidate is sitting a test in another candidate's name, or a candidate becomes aware that he/she is sitting a test in another candidate's name, then the test must be stopped and the invigilator must inform the head of centre who must immediately report the incident to OCR as a potential security breach. Any incidents of candidates sitting the test will be investigated by OCR as suspected malpractice.
- Confidential material (including discarded print-outs) must be kept secure throughout the examination window (i.e. the range of dates within which the unit/component must be conducted).
- Centres must maintain the confidentiality of candidate responses and candidate details.
- Centres must have appropriate security systems and procedures in place to prevent candidates using computers/laptops in examinations having unauthorised external communication with other users of computers/laptops.

#### **Timetabling of on-screen tests**

- For examinations which are timetabled, test sessions must take place according to the timetable and will be restricted to the scheduled period.
- You will need to plan and set up the sessions before the examination date, taking into account that access to the tests will be restricted to the test window by the software.
- You must inform candidates which session and room they should attend.
- Where a test is on-demand, once the candidate has completed his or her test they may leave the exam room. The invigilator must ensure that all examination materials are collected and other candidates completing the test are not disturbed.
- Each test must be completed within the time allowed without break. Except in cases of an emergency when the test can be paused or where a candidate has a permitted access arrangement which allows them to take a break during the test.
- When scheduling tests/exams consideration must be given to allow the invigilator appropriate breaks.
- Use of calculators for on-screen tests The regulations set out in section 13 of this document apply to all on-screen tests unless stated otherwise in this section and/or the information screens before the start of test.

Reformed Functional Skills Maths only Candidates may use the on-screen calculator or a physical calculator (their own or one provided by the centre). Where candidates use a physical calculator it must meet the exam requirements and only be used in the calculator section of the test; c) be collected in by the invigilator before the candidate "clicks through" to the noncalculator section of the test



### Resources for on-screen tests

- Where centres are undertaking on-screen tests, centres must ensure that sufficient workstations are available, including at least one replacement computer and printers where required.
- You should consider using one workstation to monitor the progress of candidates sitting the test via the Invigilate tab on Surpass. If this is used it must be monitored by an additional invigilator or an authorised member of your centre's IT support team.
- Reformed Functional Skills Maths only - where candidates are using physical calculators (their own or those supplied by the centre) rather than the on-screen calculator, the invigilator must have their own laptop or PC with access to Surpass. Invigilators must monitor candidate progress and ensure that they collect calculators during the break between the calculator and non-calculator sections of the onscreen test. Please refer to section 38 for details of specific invigilation instructions.

There must be appropriate policies and procedures in place to:

- a) protect the security of the hardware and software which is used to deliver electronic tests;
  - b) hold candidate assessment outcomes;
  - c) protect the network in which it operates.
- The centre's management of the secure test environment in which on-screen tests operate must be robust.
  - The centre must ensure stocks of toner, ink and paper are sufficient to meet the demands of the on-screen test where required.
  - You must display the following JCQ or OCR notices outside the examination room: a) Mobile Phone Poster (A3 version); b) Warning to Candidates (A3 version).
  - Individual computers will show the time left for the test to run. If not, a clock should be visible to all candidates.
  - The centre number, start and finish times must be displayed prominently. Care should be taken to ensure that the clock displays on individual computers are accurate and synchronised for examination purposes.

### Accommodation for on-screen tests

- Centres must ensure an appropriate assessment environment.
- Where computers are used for assessment purposes the head of centre is responsible for ensuring that health and safety laws are followed.
- The arrangement of workstations and the position of the invigilator's desk must facilitate detection of any unauthorised activity by candidates, for example communication with others or use of unauthorised reference material.
- The layout of the room for on-screen tests cannot be specifically defined since there will be a number of solutions to organising workstations within the space available. When planning the layout of the room, centres must consider the following limitations:
  - a) the distance between the screens;
  - b) the division of the workspace to allow any permitted additional materials to be used;
  - c) the use of booths, screens or partitions whether temporary or permanent;



- d) impact on invigilation requirements;
- e) ratio of invigilators.

Each workstation must be separated enough so their work cannot be overseen by, and contact cannot be made with other candidates. Monitors can be positioned back to back or separated by dividers or protected by privacy screens.

- Candidates must not be permitted to change seats unless asked to do so by the invigilator.
- Centres should decide how to accommodate large numbers of candidates. The following alternatives should be considered:
  - a) seating candidates sitting the same test at alternate computers;
  - b) seating a candidate next to someone entered for a different subject or component;
  - c) seating the candidates before handing out their confidential keycodes.
- If confidential keycodes are placed at workstations before the candidates are seated, you must check to ensure that candidates are seated correctly.
- Invigilation arrangements for on-screen tests
- For Reformed Functional Skills Maths on-screen tests only – where candidates are using physical calculators (their own or those supplied by the centre) rather than the on-screen calculator: a) there must be at least one invigilator for each group of 10 candidates or fewer.
- This is to ensure that the invigilator can manage the transition between the calculator and non-calculator sections;

b) In addition to undertaking appropriate invigilation, invigilators must:

- instruct candidates to follow the on-screen instructions carefully and raise their hands before starting the non-calculator section so you can collect their calculator;
- be logged into Surpass on their own/the centre's laptop/PC, this must only be used for the purposes outlined below;
- use the "Invigilate" screen to monitor when candidates finish the calculator section and start the "break"\* between the sections.
- This will be indicated by an orange cup in the "state" column against each candidate test.
- \*This "break" will last a maximum of 10 minutes after which the non-calculator section of the test will automatically start. However, the candidate can click through to the non-calculator section during this break.
- collect the candidate's calculator before they start the non-calculator section. When the "orange cup" appears the candidate will have left the calculator section and been instructed to put up their hand to indicate they require you to collect their calculator.
- report any instance of a candidate starting the non-calculator section while still in possession of their calculator as suspected malpractice (even if they have not accessed the calculator during the non-calculator section.)

c) Invigilators should refer to the "Suggested wording for the invigilator's announcement at the beginning of an on-screen test" and the "Important Notice for Invigilators".

On-screen calculators are automatically disabled in the non-calculator section. Except where candidates are using physical calculators during Reformed Functional Skills Maths tests - there must



be at least one invigilator for each group of 20 candidates or fewer taking computer based and on-screen tests, unless OCR has given permission to do otherwise.

Further invigilators should be employed at the exams officer's discretion to ensure that all candidates are in view at all times.

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 by use of mobile phone.

- Invigilators must ensure that candidates do not bring iPods/pads, tablets, mobile phones, MP3/4 players, smartwatches and wrist watches which have a data storage device or any products with an electronic communication/storage or digital facility into the examination room.
- Unless permitted by OCR's subject-specific instructions, there should be no access to: a) the internet; b) e-mail; c) data stored on the hard drive; d) portable storage media, e.g. floppy disks, CDs, memory sticks; e) pre-prepared templates.
- You must keep a signed record of the invigilator certificate/report and seating plan for at least a year after the exam.
- During a test, workstations may be networked and it may not be possible to avoid a group of candidates having to share access to a printer. Candidates must be closely supervised so as to ensure they have access to only their own work.
- For on-screen tests, particularly those involving a large number of candidates and where more than one test is being conducted, it is recommended that a specialist invigilator is appointed. The specialist invigilator should have proven IT skills and experience in conducting on-screen tests, and be assisted by at least one other invigilator.

### **Emergencies during on-screen tests**

- You must have a centre policy for dealing with an emergency evacuation of an examination room, at all exam venues, which must be available for inspection by OCR;
- You must ensure that candidates are closely supervised if an evacuation is necessary.
- Where the integrity of the examination or the candidates' performance may have been affected, a report must be sent to OCR.
- You should refer to any software specific instructions to safeguard:
  - a) BS17.1a the security of assessment content and responses (for example by pausing the test for all candidates and locking the assessment room which has been evacuated without closing down the software);
  - b) BS17.2.1 procedures for dealing with hardware, software and communication failures (which may affect individual workstations or the whole network) should normally allow the candidate(s) to continue the assessment session at a different workstation or at a later time, if necessary, without loss of working time. In extreme cases it may be preferable to provide a paper assessment;
  - c) BS17.3 procedures for re-starting an assessment after an unplanned break (i.e. an emergency or a technical failure) should ensure that the invigilator:
    - controls the re-start;
    - re-sets the timing, where necessary;



- ensures that candidates can re-access their previous responses where this is technically feasible and permitted by the assessment regulations.

### **Finishing the examination**

- You must ensure that all candidates' work is saved and secure from unauthorised access.
- All other examination material, including copies of candidates' work, additional print-outs and question papers must be collected by the invigilator and stored in a secure place.
- Scrap paper used by candidates must be collected and destroyed. Candidates must not remove this from the exam room.
- Any common user areas accessible to candidates must be cleared of all work saved during the examination immediately after each session.
- Candidates' user areas should be removed at the end of the examination window or after each session if feasible. Whichever strategy is adopted, centres must ensure that the user areas of those candidates who have already sat the examination cannot be accessed by candidates who are scheduled to sit the examination in a later session within the window. Particular care should be taken where networked stations are used to prevent work being accessible via shared folders.
- Invigilators should be aware that work may need to be printed off outside the time allowed for the test. Candidates must not be prevented from doing so, but must be supervised at all times.
- Where required, the invigilator should check, on the Invigilate tab in Surpass, that all onscreen assessments have been uploaded to OCR.
- Question papers, or the content of a question paper, including tests downloaded to SecureClient and taken offline, must never be retained after examinations or used for teaching or examination practice.
- For Legacy Functional Skills in ICT only - where the examination is taken by candidates on-screen but the question paper is provided to the centre in a hard copy format all used and unused question papers including modified papers and/or CDs with modified papers must be returned with the "Important Notice" (A507) and other examination materials to OCR no later than ten working days after receipt.