



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

### 2018-2019\*

\*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 for is in place for malpractice and appeals.

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

OCR Instructions for conducting examination:

<Q:\SD\SKILLS FOR LIFE AND WORK\Exam Admin\OCR\OCR FS Handbooks>

OCR Admin Guide:

<Q:\SD\SKILLS FOR LIFE AND WORK\Exam Admin\OCR\OCR FS Handbooks>

Pearson Edexcel Instructions for Conducting Controlled Assessments

<Q:\SD\SKILLS FOR LIFE AND WORK\Exam Admin\Edexcel QCF Exam admin>

JCQ Instructions for conducting examinations:

<Q:\SD\SKILLS FOR LIFE AND WORK\Exam Admin\OCR>

*These Instructions have been created to enable all centres to administer ESOL, Functional Skills and Digital Employability examinations/tests consistently and securely, thereby helping to maintain the integrity of the assessment process. Failure to adhere to these Instructions could adversely affect candidates and/or your centre.*



## **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.
- 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.
- For **Edexcel** claims, quality lead must ensure all candidates' scripts are internally marked and have been through the internal verification process before requesting standards verification. Quality lead must keep all candidates' scripts, recordings and internal verification documents in a secure place until the Standards Verifier visit has taken place. During the visit the allocated Standards Verifier will select a sample of scripts for standards verification.

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

“Secure storage” refers only to those facilities which have been inspected and approved by JCQ and/or OCR/Pearson Edexcel, as meeting the security requirements in this document or the JCQ Instructions for conducting examinations. Centres must be able to demonstrate the receipt, secure movement and secure storage of question papers and confidential materials

- For **Edexcel QCF**, access to the secure materials will be made available to Examination Officers once candidates have been registered. Following registration of learners onto the system, tests are downloaded by the programme manager/co-ordinator using the secure download on edexcel online. Examination tests are selected at random by the programme manager/co-ordinator according to the level of candidate.
  - Pearson Edexcel ESOL assessment materials must always be sealed inside envelopes after printing and stored securely, prior to assessments and after the assessments have taken place.
  - No unauthorised person should have access to question papers and/or assessment materials.
  - If the assessments are taking place on more than one site, the Head of Centre is responsible for ensuring that the correct number of question papers and supporting materials are delivered to each site, and that security is maintained throughout.
  - Question papers should not be opened until the time of the assessment and must only be opened in front of the candidates.
  - All completed question papers must be stored securely and retained for at least 15 working days after certificates have been received and checked.
  - Records of assessment and internal verification of assessment should be maintained for a minimum of three years.
- The following instructions apply to all confidential materials, ie: question papers in any format, relating to the administration and delivery of examinations and assessments. These must be followed to ensure the integrity and security of the examinations.
  - All secure storage must have been inspected and approved by JCQ or OCR before it is used to store examination materials
  - OCR quality leads will order the papers from OCR using on-demand system for Level 1/Level 2 Functional Skills which need to be used within 5 working days of receipt.



For Entry level papers assessments will be downloaded from OCR interchange by quality leads only.

- For OCR papers, papers must be kept secure 1 hour before exams and within the 5 day test window within which the exam takes place.
- If there are any technical issues with the downloading of exam papers online, the programme manager/co-ordinator contacts *the QPD team at QPDedexcel.com*, who will arrange to have exam papers forwarded to the centre.
- On receipt of Assessment papers by the Awarding Body (OCR) all papers, check the question paper packets and examination material carefully. This must be undertaken in a secure area. The question papers are to be secured safely by a member of staff, in the lockable safe which is located in ELATT's storage room which is accessed only by heads of curriculum and quality leads or senior tutors until they need to be removed for the examination to take place. Papers are to be stored in a non-portable safe or non-portable lockable metal cabinet. If using a filing cabinet, this must be equipped with an additional external locking bar. Small safes must be fixed securely in place to ensure they cannot be moved.
- 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.
- The latest version of the assessments must always be used. If tests are held offsite, they are to be given to the assessor on the day of examination and returned to programme manager/co-ordinator to be held securely while being internally verified. (Edexcel)
- Materials must be printed from the secure website no earlier than two working days before candidates sit the assessment. (Edexcel)
- Instructions to assessors for the examination are made available to assessors a few days prior to the examination taking place.
  - For Edexcel, all Assessors should be issued with copies of relevant Guidance for Assessors four working days prior to the assessment(s).
- All test materials to be collected before the candidate leaves the room.
  - Candidates must not take any papers or notes on paper away with them after the Speaking & Listening assessments. (Edexcel)
- Programme manager/centre co-ordinator to ensure that correct amount of papers are delivered to off site locations where examinations are taking place.
- Only persons authorised by the programme manager/co-ordinator may have access to the secure papers online as well as online assessments.
- All removal and returns of papers must be recorded in the recording sheet allocated to each batch of papers, recording the receipt, movement and despatch of confidential exam materials.
- The secure room should be of a strong, solid construction, have lockable windows and doors, which are locked when the room is not occupied.
  - Centres must be able to demonstrate the receipt, secure movement and secure storage of question papers and confidential materials. A log must be kept recording



the receipt, movement and despatch of confidential exam materials including, if appropriate, the number of boxes/packets received.

- Note: If a centre delivers General or Vocational examined units for other OCR qualifications their secure storage must have been inspected and approved by a JCQ inspector and meet the requirements outlined in the JCQ Instructions for conducting examinations before it is used to store examination materials.
- 1.7 Where centres change address or a change or re-location of the secure storage facility occurs, reference must be made to the JCQ NCN checklist. You must inform OCR of any changes to your secure storage – whether these are planned or as a result of unforeseen circumstances.
- Please inform the awarding body of any threats to the security of exam papers.
- Papers can be opened within 90 minutes of the commencement of the examination within the centre where a candidate has requested special consideration or access arrangements.
- For Oral language modifiers, -access to exam papers within 60 minutes of the start of the exam.
- A reader or scribe is not allowed access to the question paper prior to the published start time of the exam.

#### **Procedures for exams taking place off site (OCR regulations):**

A senior member of staff or a member of the exams office must be available to receive delivery of examination materials, log their receipt and place them in the inspected and approved secure storage. 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.

#### Use of exam papers:

- If circumstances are such, ie: 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.



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

- When travelling between the centre's secure storage and exam venue(s), materials must be kept securely at all times.
- When being transported to a venue materials must be kept in their sealed packets/envelopes in a secure locked container (such as a briefcase) and travel with a person authorised by the head of centre and the exams officer.
- After the exam, all examination materials must be securely transported and returned to the centre's secure storage.
- Examination materials must always be held in the appropriate secure storage until despatched to OCR.

### **Conditions for transporting assessment materials (Edexcel)**

- Assessment materials should not be moved until immediately before the scheduled assessment time.
- Unless the assessment is scheduled for Monday 8am and as long as the sub-site is within reach, there is no problem with moving the assessment materials on Monday morning. If the sub-site is a considerable distance away, the assessment materials can be transported, provided that:
  - The alternative site has secured storage to keep the papers until the scheduled assessment
  - Assessment materials are sealed in a secure envelope
  - Assessment materials are transported by a responsible member of staff who has sight/hold of the sealed envelope at all times during the transport.
- A transport log is kept. It should include: names of all people handling the assessments, times when the assessments were removed from secure storage, means of transport and security measures taken, time of arrival in sub-site and secure storage arrangements at the alternative site.
- Must inform the Standards Verifier before they visit and the Approvals Team if you are using additional sites/buildings for delivering live assessments – [ukvqapprovals@pearson.com](mailto:ukvqapprovals@pearson.com)

### **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 pages 8-9 of Pearson Edexcel Instructions for Conducting Controlled Assessments for ESOL QCF for further information about resources required for each test.
- For Edexcel Reading and Writing assessments, no additional loose paper may be provided to candidates.
- 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>

- For Edexcel, English dictionaries, picture dictionaries and bilingual translation dictionaries cannot be used for any of the ESOL QCF assessments.
- 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 (see Appendix 2 or 1a for on-screen tests) 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.

## Appendix 1: Instructions for conducting on-screen tests

### 1. Introduction

The centre must be authorised by OCR to offer on-screen tests. Centres should 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 ensure that they meet the arrangements detailed in this booklet. Some technical requirements will need to be met in advance of the test/examination and centres must have the expertise to access, administer and support the test/examination.

The head of centre is responsible for ensuring that OCR's requirements are met for downloading software and test/examination materials and ensuring the regulations are followed.

- The centre must be authorised by OCR to offer on-screen tests. Centres should 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 ensure that they meet the arrangements detailed in this booklet. Some technical requirements will need to be met in advance of the test/examination and centres must have the expertise to access, administer and support the test/examination. The head of centre is responsible for ensuring that OCR's requirements are met for downloading software and test/examination materials and ensuring the regulations are followed.
  - Check the identity of each candidate and that the correct keycode is issued to each candidate sitting the on-screen test.
  - You should oversee the input of keycodes by the candidates and ensure that each candidate has checked to see that the name and test details on the test screen are correct.



Information about access arrangements specific to Functional Skills qualifications is now located on <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>.

- Administration of on-screen tests

- There should be no access to following:  
The internet, email, data stored on a hard-drive, portable storage media, e.g. memory sticks, pre-prepared templates.
- Candidates may use networked PC's during the examination. All printers are outside of the classroom. The invigilator will request a member of staff to gather any printouts from the shared printer once it is sent to printer. Candidates will not be able to leave the exam room to gather printouts.
- Candidates must not bring their own paper into the examination. The centre will provide any extra paper for rough notes as necessary. Any notes made must not be removed from the exam room and must be collected and disposed of as confidential material by the examiner.
- Calculators - Candidates must clear anything stored in calculators. Candidates may use calculators unless they are told otherwise. Candidates must ensure that calculator(s):
  - Work(s) properly
    - check that the batteries are working properly;
    - clear anything stored in it;
    - remove any parts such as cases, lids or covers which have printed instructions or formulas;
    - do not bring into the exam room any operating instructions or prepared programs.
- If candidates have any unauthorised material in an examination (whether they intend to or not, this is considered malpractice). Please refer to JCQ suspected malpractice in exams and assessments. <https://www.jcq.org.uk/exams-office/malpractice>
- Candidates should always listen to the invigilator, follow their instructions at all times, tell the invigilator at once if:
  - you have been entered for the wrong on-screen test;
  - if the on-screen test is in another candidate's name;
  - if you experience system delays or any other IT irregularities.

You may be given a question paper or the instructions may be on-screen. In either case, read and follow the instructions carefully.

## **Accommodating tests**

### 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, sign interpreter, practical assistant 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.

For **Edexcel ESOL QCF and OCR**, centres should refer to the JCQ Access Arrangements, Reasonable Adjustments and Special Consideration, General and Vocational Qualifications document. Further for Edexcel:

- Centres are advised to consult the Quality Standards team ([vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)) before candidate registration if they are unsure that access arrangements will be appropriate.
- The centre is not required to have every candidate individually assessed by a specialist.
- The centre must have determined the needs of the candidate within the classroom situation and in light of those arrangements which have to be made part of the normal working practices.
- Any access arrangements given must be documented on the front cover of the candidate's test paper.
- Modified papers should be requested through the Quality Standards team.

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:
  - all candidates should face in the same direction;
  - each candidate should have a separate desk or table big enough to hold question papers and answer booklets (as appropriate).
  - 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.

## Persons present

- 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)

- Invigilation arrangements -- The invigilator is the person in the examination room responsible for conducting a particular examination session in the presence of the candidates. Therefore CCTV cannot be used for the purposes of invigilation.
- Invigilators have a key role in upholding the integrity of the external examination/assessment process.
- The role of the invigilator is to ensure that the examination is conducted according to these instructions in order to:
  - ensure all candidates have an equal opportunity to demonstrate their abilities;
  - ensure the security of the examination before, during and after the examination;
  - prevent possible candidate malpractice;
  - prevent possible administrative failures
- Invigilators must:
  - be familiar with these Instructions, including the Appendices;
  - give all their attention to conducting the examination properly;
  - be able to observe each candidate in the examination room at all times;
  - inform the head of centre if they are suspicious 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>
- Invigilators must not: carry out any other task (for example, reading a book or marking) in the examination room;

Please refer to <https://www.ocr.org.uk/Images/145317-ocr-instructions-for-conducting-examinations-ocr-ice-1-september-2018-to-31-august-2019.pdf>

Appendix 2 suggested wording for invigilators announcement at beginning of a written examination and checklist for invigilators.



## Supervision arrangements (Pearson Edexcel ESOL QCF)

- Assessments must take place under supervised conditions:
  - Candidates must be continually supervised by a reliable person
  - All necessary facilities must be available to candidates
  - Any time restrictions must be complied with
  - Candidates' work must be independent and unaided
- The Head of Centre must ensure that suitable informed and briefed adults carry out invigilation during assessment. The Head of Centre should be fully aware of any potential conflict of interest between a candidate and Invigilator and take all reasonable steps to prevent any such conflict.
- Invigilators must give their whole attention to the proper conduct of the assessment for the whole time it is in progress, and there must be enough Invigilators in the room to monitor all of the candidates present (one Invigilator for no more than 30 candidates).
- Where an assessment is being supervised by one person, the Invigilator must be able to summon assistance easily without leaving the assessment room or disturbing the candidates.
- For a detailed checklist for Invigilators see page 45 of the JCQ ICE document:  
[www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations)

## Starting the test/assessment

- Candidates must be seated accordingly, inform them that they are under exam conditions (Edexcel: 'controlled assessment 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.
- For further OCR guidance on information invigilators must give candidates before starting a test please refer to : <http://www.ocr.org.uk/Images/145317-ocr-instructions-for-conducting-examinations-ocr-ice-1-september-2015-to-31-august-2016.pdf> Section 12.3
- 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.

### **During the exam/assessment**

- Exam must take place under test conditions mentioned under admin guides and OCR ICE.
  - For Edexcel, the assessment must take place under supervised controlled assessment conditions
- The invigilator must:
- 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.
  - For Edexcel, attendance list must include the following:
    - Candidate name, date of birth and signature
    - Date and time assessment taken
    - Location of assessment centre
    - Version of test paper taken by candidate
    - Interlocuter name and signature (Speaking and Listening only)
    - Invigilator(s) name(s) and signature(s).
  - Edexcel attendance lists must be held securely in centres for a minimum of three years following the completion of the assessment.



- 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 may 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.

#### **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/Edexcel will be informed and may decide to penalise them, which could include disqualification.
  - The Invigilator must record what has happened (Edexcel)
- If candidates commit malpractice OCR/Edexcel may decide to penalise them which could include disqualification. Centres should warn candidates of the possible penalties OCR/Edexcel 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 Centre.
- Head of curriculum/quality leads/Head of Centre 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.

***Notification must be made to an awarding body whether involving a candidate (during examinations or following the authentication of controlled assessment, coursework or verification of other assessed qualifications) or malpractice or maladministration by a member of staff.***

- Investigate any instances of suspected malpractice (which includes maladministration) in accordance with the JCQ publication Suspected Malpractice in Examinations and Assessments: Policies and Procedures, 1 September 2018 to 31 August 2019 and provide such information and advice as the awarding body may reasonably require  
<http://www.jcq.org.uk/exams-office/malpractice>



- 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).

## 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. Reference should also be made to the following document – <https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-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/Edexcel.

- 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 leave all question papers and scripts 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.
- For Edexcel ESOL QCF:
  - If an assessment has only just started (e.g. first ten minutes) the candidates can return to the assessment and continue.
  - If an assessment has been under way long enough that some candidates may have seen most of the test paper and there is a significant risk that the integrity of the



assessment would be compromised if the assessment were allowed to continue, the candidates' work completed so far should be submitted to Pearson Edexcel

- 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/Edexcel 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/Assessment**

- Only a five minute warning to candidates is permitted. Where candidates have different finishing times the centre must consider the impact on them
- 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/Edexcel) 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. Candidates who have left a supervised environment may not be readmitted to the assessment room.

- Instruct candidates taking written examinations to:
  - make sure they have put all the necessary information on their scripts and any additional answer sheets, 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
- Invigilator should check that candidates taken written assessments have completed all the necessary information on the front page of the question paper (Edexcel).
- 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.
- Check that candidates have used correct centre numbers and candidate numbers.
- After collation the tests should be handed to head of centre/examination officer/quality lead.
- Attendance list must be submitted to programme manager/quality lead and attendance submitted online in a timely manner.
- Teachers/Assessors who mark papers should ensure that the scripts are kept in a secure place until marking is complete. (Edexcel; see JCQ ICE section 1.3)
  - Assessments must not be marked in a public place.
- 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.

### **Despatching/Handling and disposing of materials (*continued*):**



- 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)
- Question 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 Functional Skills OCR Assessment any used exam papers must be returned to the Awarding Body on the day after the exam or stored securely for return the next day and using the awarding body return forms – Important Notice, within 10 working days of the exam.
- 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.

### **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.
- 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 Edexcel ESOL QCF, centres should also consult the Quality Standards team ([vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)) regarding access arrangements.



- For Functional Skills Access Arrangements, centre consults:  
[www.ocr.org.uk/qualificationsby-type/functional-skills](http://www.ocr.org.uk/qualificationsby-type/functional-skills) - Please refer to Section 4 of admin guide.
- Access arrangements given must be documented on the front cover sheet.
- For modified papers as part of an access arrangement or reasonable adjustment, you must make applications at least 10 weeks before the chosen test date. To apply for modified papers please complete the JCQ 7 form, form JCQ website [www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/forms/form-7---application-for-modified-papers](http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/forms/form-7---application-for-modified-papers)
- Please refer to section 7 -ocr-instructions-for-conducting-examinations-18/19 for guidance on Invigilation arrangements for candidates with access arrangements.
- **General Guidance for special arrangements for exam candidates:**

#### **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
- a scribe
- a communication professional (sign interpreter)
- an oral 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 (Appendices 7 - 10) at the back of this document



**Readers** (Please refer to OCR admin guide for Functional Skills [www.ocr.org.uk/qualificationsby-type/functional-skills](http://www.ocr.org.uk/qualificationsby-type/functional-skills) Section 7 / Pearson Edexcel Instructions for Conducting Controlled Assessments for ESOL QCF section 21 for further guidance)

- Readers are required to read, on request all or part of a test/assessment or any part of a candidate's response.
- 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/assessments.

**Scribes** (Please refer to OCR admin guide for Functional Skills [www.ocr.org.uk/qualificationsby-type/functional-skills](http://www.ocr.org.uk/qualificationsby-type/functional-skills) Section 7 / Pearson Edexcel Instructions for Conducting Controlled Assessments for ESOL QCF section 22 for further guidance)

- A scribe must write out answers as dictated by the candidate.
- 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 is 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/assessments.

**Communication professional / Sign interpreter** (Please refer to OCR admin guide for Functional Skills [www.ocr.org.uk/qualificationsby-type/functional-skills](http://www.ocr.org.uk/qualificationsby-type/functional-skills) Section 7 / Pearson Edexcel Instructions for Conducting Controlled Assessments for ESOL QCF section 23 for further guidance)

- Where the centre has granted the candidate a Live Speaker, Sign interpreter 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.
- A sign interpreter 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/sign interpreter should work at the candidates' pace.
- A communication professional/sign interpreter is permitted for written questions and responses but not for orals.

**Practical Assistants** (Please refer to OCR admin guide for Functional Skills

[www.ocr.org.uk/qualificationsby-type/functional-skills](http://www.ocr.org.uk/qualificationsby-type/functional-skills) Section 7 / Pearson Edexcel Instructions for Conducting Controlled Assessments for ESOL QCF section 24 for further guidance)

- 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, scribes, communicators and practical assistants** (Please refer to OCR admin guide for Functional Skills / Pearson Edexcel Instructions for Conducting Controlled Assessments for ESOL QCF section 25 for further guidance)

- When a candidate is assisted by a reader, scribe or sign interpreter/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/Head of Centre/Examinations Officer 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.

**Bilingual translation dictionary and 10% extra time**



For the use of a bilingual translation dictionary and 10% extra time, you must refer to the current version of the JCQ publication Access Arrangements and Reasonable Adjustments - <http://www.jcq.org.uk/exams-office/access-arrangements-and-specialconsideration>.

**\*Please refer to appeals policy for enquiries or appeals in relation to Portfolio evidence.**