

# Instructions for Conducting Controlled Assessments 2017-18

Essential Skills Wales (Controlled Tasks)

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# Introduction to the ESW qualification

## Awarding bodies

The Essential Skills Wales qualification is a joint development between Pearson, Agored Cymru, City & Guilds and WJEC (CBAC).

The four awarding bodies will be using a common set of assessments to ensure consistency.

- See more at: <http://qualifications.pearson.com/en/qualifications/edexcel-essential-skills-wales/what-is-changing.html#sthash.9YtBQZvh.dpuf>

Please note that the new qualification consists of a Controlled Task (externally set, internally verified and externally verified) and either a Structured Discussion (externally set, internally verified and externally verified) or a Confirmatory Test (externally set, externally marked).

The Controlled Task, Confirmatory Test and Structured Discussion are **summative assessments**. Candidates should take these assessments **only** when they have developed the relevant skills at the required level. Specific assessments can be taken only once, however a candidate may undertake a **different** Controlled Task, Confirmatory Test or Structured Discussion at another time if they do not pass.

The Entry Level qualifications in Essential Communication Skills and Essential Application of Number Skills will remain available for registration until 31 August 2020. These assessments are conducted as portfolios (internally set, internally assessed and externally verified) and have not changed since the redevelopment of the legacy Essential Skills Wales qualification.

# Checklist for Head of Centre and Lead Internal Verifier – Controlled Task

This checklist summarises the main requirements for conducting Essential Skills Wales (ESW) Controlled Tasks. It should be read in conjunction with the Joint Awarding Organisation’s **Qualifications Handbook**, Pearson **Guidance for Assessors** and the Pearson **Quality Assurance Handbook** which can be found here: <http://qualifications.pearson.com/en/qualifications/edexcel-essential-skills-wales.html>

The JCQ **Instructions for Conducting Examination** document: [www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations)

A – Receiving Controlled Task materials	
1	ESW Controlled Task materials are available on a secure website and can be accessed via the website: <a href="http://qualifications.pearson.com/en/qualifications/secure-tests/essential-skills-wales.html">http://qualifications.pearson.com/en/qualifications/secure-tests/essential-skills-wales.html</a> Access to the secure materials will be made available to Examination Officers once candidates have been registered.
2	Controlled task materials must be stored securely <b>at all times</b> , prior to and after the tasks have taken place. Security and integrity of the Controlled Tasks <b>must</b> be maintained throughout if they need to be transported to multiple sites/locations.
3	Materials must be printed from the secure website at least <b>two working days</b> before candidates sit the first session.
4	No unauthorised person should have access to task materials. However, all Assessors should be issued with copies of relevant <b>Guidance for Assessors for each Essential Skills Controlled Task</b> , (copies of which can be found on the secure website) at least <b>four working days</b> prior to the assessment(s), in order to ensure that specific vocabulary has been covered in teaching.

B – Scheduling the Controlled Task	
1	The tasks may take place at any time on any date over eight consecutive weeks. These eight weeks do not include any academic holiday periods that may happen in this time period.
2	Centres can choose which task the candidates will sit but must keep a log to ensure that the Controlled Tasks and resits are taken appropriately.
3	Take all possible steps to prevent collusion if candidates are taking the tasks at different times.
4	Enable candidates to collaborate when indicated within the Controlled Task. This includes the Speaking and Listening component of Essential Communication Skills, Working With Others parts of Essential Digital Literacy Skills and Teamwork within Essential Employability Skills
5	Ensure assessment room(s) are fit for purpose and supervised conditions can be assured e.g. candidates are not able to overlook each other’s work, desks are big enough to accommodate assessment materials.

C – Before the Controlled Task	
	Assessors/Tutors must:
1	Be satisfied of the identity of every candidate.
2	Check candidates have, or are provided with, any equipment indicated as required in the Assessor Guidance and the Section on Resources for each Controlled task.

3	Check candidates do not have access to anything that might compromise the assessment – any additional paper/notes; mobile phones must be switched off and placed out of reach.
4	Provide the Controlled Task immediately before the assessment starts.
5	Bring any erratum notices, if applicable, to candidates' attention (do not announce suspected errors unless confirmation has been received from Pearson).
6	Ensure candidates record their personal details on the Candidate Pack as instructed.
7	Announce clearly to candidates when they may begin.
8	The working period and working time taken to complete Controlled Tasks must be monitored and recorded as indicated on the front page of the Candidate Pack. The candidate, supervisor, assessor and centre details must be completed and the declarations must be signed and dated before completed tasks are submitted for assessment.

#### D – During the Controlled Task

1	The Assessor/Tutor must give their whole attention throughout to ensuring proper conduct of the assessment and must be able to summon assistance without leaving candidates unattended.
2	This supervision must be <b>continuous</b> and ensure no interruption and/or undue influence is possible whilst candidates are 'actively working' on the tasks. Suitable locations might include a classroom, a library or a workplace as long as an appropriate environment and supervision is maintained. For the avoidance of doubt, this environment does not require formal 'examination' conditions.
3	There must be enough Invigilators to properly observe each candidate (it is recommended at least one Invigilator per 10 candidates).
4	An attendance list or similar must be completed as instructed.
5	Any candidate leaving the assessment room temporarily must be accompanied.
6	Make candidates aware of time remaining – either by having a visible clock in the room or by regular time checks.
7	Follow instructions on what to do in the event of an emergency.

#### E – Finishing the Controlled Task

1	Candidates must be given the full time allowance (even if a candidate is admitted after other candidates have started).
2	All work must be handed in – candidates must not take any papers or notes on paper away with them.
3	The Assessor/Tutor must collect all work before the candidates leave the room.

#### F – Dispatching and disposing of materials

1	Collate the candidates' completed tasks as instructed by Pearson.
2	Ensure all candidates' completed tasks are <b>internally marked</b> and <b>have been through the internal verification</b> process before requesting standards verification.
3	Keep all candidates' completed tasks, 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 completed tasks for standards verification.

Time frames for assessment materials	
4 working days prior	Assessors should be issued with the Pearson Guidance for Assessors for each Essential Skills Controlled Task
2 working days prior	Assessment materials printed from secure website.
15 working days after	All completed candidate tasks, including candidate evidence stored electronically, are kept after certification has been received and checked.
Minimum 3 years after	Records of assessment and internal verification of assessments should be maintained.

# 1 Introduction

In these instructions,

- a centre is an institution approved by Pearson to deliver ESW qualifications
- an assessment refers to ESW tests and/or tasks.

- 1.1 Pearson expects the centre address provided during the approval process to be the main site for the downloading, storing and delivery of assessments.

Any other sites used for the delivery of assessments must meet Pearson requirements, including those set out in these instructions. The Head of Centre is responsible for the delivery of assessments and fair access to assessment at all sites.

All sites used must be under the full control of the Head of Centre. Centres are not permitted to sub-contract responsibility for assessment delivery, or enter into franchise or other collaborative agreements with third parties for the purposes of assessment delivery. Centres are required to provide details of all sites used for assessment delivery to Pearson on request. Pearson reserves the right to inspect all assessment centres.

- 1.2 For the purpose of this document, the Head of Centre, Principal of the College or the Chief Officer is the named person, known to Pearson, who takes ultimate responsibility for quality assurance within the centre. All centres must have relevant approval from Pearson before offering any Essential Skills Wales qualifications.

- 1.3 The Head of Centre is responsible to Pearson for ensuring the proper conduct of the assessments, although he/she may delegate certain tasks as necessary. Advice should be sought from Pearson in the event of a situation arising that is not covered by this document. Please contact our Quality Standards team at:  
[vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)

- 1.4 For procedural matters not covered by this document (e.g. how and when to make registrations) please refer to the Information Manual, available on <http://qualifications.pearson.com/en/support/support-topics/centre-administration/information-manual.html>

- 1.5 The assessments are graded as either 'pass' or 'fail', however centres must refer to the mark schemes when marking the Controlled Tasks for the agreed pass mark.

- 1.6 The **Guidance for Assessors** that correspond to the assessment must be read **four working days** before each assessment to allow particular arrangements for each assessment to be accommodated in time.

- 1.7 Assessments are permitted to be held on any date suitable to the centre. There are no requirements for centres to inform Pearson of the arranged assessment date beforehand.

## 2 Safe custody of live assessment materials

Live assessment materials include: candidate packs, corresponding assessor packs and the Pearson **Guidance for Assessors**. To ensure the security of question papers please ensure the following steps take place.

- 2.1 The Controlled Tasks are locked away in a secure place until the scheduled time of assessment during the assessment period and after the assessment is completed.
- 2.2 All Controlled Tasks and candidate evidence are collected before the candidates leave the room after each assessment session to ensure that none are accidentally removed.
- 2.3 If the assessments are taking place on more than one site, the Head of Centre is responsible for ensuring that the correct number of Controlled Tasks and supporting materials are delivered to each site, and that security is maintained throughout.
- 2.4 The secure site terms and conditions are followed for Essential Skills Wales  
<http://qualifications.pearson.com/en/qualifications/secure-tests/essential-skills-wales.html>
- 2.5 Only persons authorised by the Head of Centre, a maximum of two, may have access to the assessment materials and completed question papers.

### Conditions for transporting assessment materials

- 2.6 Assessment materials should not be moved until immediately before the scheduled assessment time.
- 2.7 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:
  - 2.7.1 the alternative site has secure storage to keep the Controlled Tasks until the scheduled assessment session
  - 2.7.2 assessment materials are sealed in a secure envelope
  - 2.7.3 assessment materials are transported by a responsible member of staff who has sight/hold of the sealed envelope at all times during the transport.
- 2.8 A transport log is kept (there is no template given to centres, a spreadsheet or a Word-table would be suitable, as long as the following information is captured):
  - 2.8.1 names of all people handling the assessments
  - 2.8.2 times when the Controlled Tasks were removed from secure storage
  - 2.8.3 means of transport and security measures taken
  - 2.8.4 time of arrival in sub-site and secure storage arrangements at the alternative site.
- 2.9 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)

### 3 Conditions for storing assessment materials

- 3.1 Assessment materials must be stored in a safe or cabinet in a securely locked room conforming to the requirement below (secure storage). This room must be a fixed building, preferably with no windows and on an upper floor.
- 3.2 The room **must not** have a door which directly leads out to the exterior of the building.

Requirement	Recommendation
Strong safe <i>or</i> security cabinet <i>or</i> metal cabinet with locking bar, bolted to wall or floor 2 or 3 key holders only	
Secure room in a fixed building	Preferably on an upper floor with no windows
Walls, ceiling and floor of strong solid construction	
Solid door	A hollow door would require reinforcement
Strong, secure hinges	
Security lock, e.g. 5 lever mortise lock 2 or 4 key holders only	

Please see section 1.3 of the JCQ ICE document for a full list of requirements:

[www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations)

- 3.3 If the security of the assessment materials has been put at risk by fire, theft, loss, damage, unauthorised disclosure or any other circumstances the Quality Standards Team must be informed immediately at [vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)
- 3.4 Assessment material should be printed at least **two working days** before the date the assessments are due to take place, and be kept securely at all times.
- 3.5 A copy of the Pearson **Guidance for Assessors** must be given to authorised Assessors **four working days** before each assessment sitting.
- 3.6 Centres must make sure that the correct number of Controlled Tasks are printed before each assessment.
- 3.7 Centres must make sure that the latest version of the Controlled Task is downloaded from the secure site.
- 3.8 All live assessment materials should be sealed inside envelopes after printing and stored securely.
- 3.9 Live assessment materials should not be opened until the time of the assessment and must only be opened in front of the candidates.
- 3.10 Centres must make sure that a system for recording when material is taken from or returned to secure storage is used throughout the time the material remains confidential.
- 3.11 All completed Controlled Tasks must be stored securely until they have been externally verified by the Standards Verifier. For security/storage requirements see JCQ ICE section 1.3 and the table on page 8 of this document.

- 3.12 Completed controlled assessments must be treated as live material and therefore stored securely at all times. It is necessary to retain the completed controlled assessments, candidate evidence and all assessment materials for at least **15 working days** after certificates have been received and checked. Records of assessment and internal verification of assessments should be maintained for a minimum of **three years**.
- 3.13 As all assessment materials will continue to be live until written confirmation has been given from Pearson confirming the release of the set as practice tasks, centres must continue to store all Controlled Tasks securely even after the Standards Verifier has visited the centre.
- 3.14 We advise that all Controlled Tasks and candidate evidence are not destroyed until certificates have been received and checked. Records of assessment and internal verification of assessments should be maintained for a minimum of **three years**.

## 4 Scheduling assessments

- 4.1 Assessments may take place at any time and on any date.
- 4.2 Centres may choose which assessment the candidates will sit from the bank of Controlled Tasks on the secure site and must keep a record of those used:  
<http://qualifications.pearson.com/en/qualifications/secure-tests/essential-skills-wales.html>
- 4.3 The Head of Centre must take all reasonable steps to ensure there is no possibility of collusion between candidates taking assessments at different times, or between candidates and anybody else with or without access to the question papers.

### Re-sit assessments

- 4.4 Where candidates do not pass the Controlled Task and wish to sit it again, they must re-sit the entire task not just the part that they did not pass.
- 4.5 If candidates do not pass the Controlled Task and wish to sit it again, the centre must ensure that the candidate does not re-sit the same assessment taken in the previous session. A log must be kept of all assessments taken including re-sit assessments.
- 4.6 Re-sit assessments must take place no earlier than 14 days from taking the previous assessment.
- 4.7 If there are no more sets for the candidate to sit but they still have not achieved a pass, centres are allowed to conduct the assessment from the first set. Centres must keep a log of which assessment each candidate sat in order to keep track of which question papers from which set was used. At this point it might be worth re-assessing whether the candidate has been entered for the correct level.
- 4.8 Standards Verifiers will ask for evidence of which assessment each candidate has sat or any re-sits taken.

## 5 Resources for assessments

- 5.1 The Head of Centre is responsible for ensuring candidates have or are provided with any equipment required to take the assessment, as well as for taking all reasonable steps to prevent candidates from having access to any unauthorised equipment or resources.
- 5.2 The Head of Centre is also responsible for ensuring that the centre has access to good quality video recording equipment for ECommS Speaking and Listening, and the structured Discussion for EDLS and EES to ensure that candidates' performances are clearly recorded.
- 5.3 Candidates must have access to items specified below, and must not have access to anything that could compromise the integrity of the assessment. The requirements for each paper are as follows:

All resources marked  or ✓ must be available for candidates' use during the assessment.

- Supplied on the secure site by Pearson  
 ✓ Must be available for use  
 ± Not required to complete the assessment successfully  
 ✗ Must not be used

### Essential Application of Number Skills

	Controlled Task			Confirmatory Test		
	L1	L2	L3	L1	L2	L3
Length of assessment <i>Nominal</i>	4 hours	5 hours	8 hours	30 mins	30 mins	45 mins
Attendance list (or similar)	✓	✓	✓	✓	✓	✓
Candidate Pack/Test Paper	<input checked="" type="checkbox"/>					
Pen(s) with black/blue ink	✓	✓	✓	✓	✓	✓
Pencils	✓	✓	✓	✓	✓	✓
Eraser	✓	✓	✓	✓	✓	✓
Ruler marked with mm/cm	✓	✓	✓	±	±	±
Internet	✓	✓	✓	✗	✗	✗
Calculator	✓	✓	✓	✗	✗	✗
English/Welsh only dictionary	±	±	±	±	±	±
Bilingual Dictionary	±	±	±	±	±	±
Other electronic devices	±	±	±	✗	✗	✗
Text books or similar	✗	✗	✗	✗	✗	✗

## Essential Communication Skills

	Controlled Task			Confirmatory Test		
	L1	L2	L3	L1	L2	L3
Length of assessment <i>Nominal</i>	4 hours	5 hours	8 hours	30 mins	30 mins	45 mins
Attendance list (or similar)	✓	✓	✓	✓	✓	✓
Candidate Pack/Test Paper	☑	☑	☑	☑	☑	☑
Pen(s) with black/blue ink	✓	✓	✓	✓	✓	✓
Pencils	±	±	±	±	±	±
Eraser	±	±	±	±	±	±
Ruler marked with mm/cm	±	±	±	±	±	±
Internet	✓	✓	✓	✗	✗	✗
English/Welsh only dictionary	±	±	±	✗	✗	✗
Bilingual Dictionary	±	±	±	✗	✗	✗
Other electronic devices	±	±	±	✗	✗	✗
Text books or similar	✗	✗	✗	✗	✗	✗

## Essential Digital Literacy Skills

	Controlled Task					
	E1	E2	E3	L1	L2	L3
Length of assessment <i>Nominal</i>	6 hours	6 hours	6 hours	4 hours	5 hours	8 hours
Attendance list (or similar)	✓	✓	✓	✓	✓	✓
Candidate Pack	☑	☑	☑	☑	☑	☑
Pen(s) with black/blue ink	✓	✓	✓	✓	✓	✓
Pencils	✓	✓	✓	✓	✓	✓
Eraser	✓	✓	✓	✓	✓	✓
Ruler marked with mm/cm	✓	✓	✓	✓	✓	✓
Internet	✓	✓	✓	✓	✓	✓
Calculator	±	±	±	±	±	±
English/Welsh only dictionary	±	±	±	±	±	±
Bilingual Dictionary	±	±	±	±	±	±
Other electronic devices	±	±	±	±	±	±
Text books or similar	✗	✗	✗	✗	✗	✗

## Essential Employability Skills

	Controlled Task			
	E3	L1	L2	L3
Length of assessment <i>Nominal</i>	6 hours	4 hours	5 hours	8 hours
Attendance list (or similar)	✓	✓	✓	✓
Candidate Pack	☑	☑	☑	☑
Pen(s) with black/blue ink	✓	✓	✓	✓
Pencils	✓	✓	✓	✓
Eraser	✓	✓	✓	✓
Ruler marked with mm/cm	✓	✓	✓	✓
Internet	✓	✓	✓	✓
Calculator	✓	✓	✓	✓
English/Welsh only dictionary	±	±	±	±
Bilingual Dictionary	±	±	±	±
Other electronic devices	±	±	±	±
Text books or similar	✗	✗	✗	✗

The time required for the completion of the Controlled Tasks must be adhered to. However if there are special circumstances e.g. absence, where by a candidate did not complete within the given timescale there is scope for an assessor to use their discretion in allowing a candidate to continue for over the allotted time in a way that does not undermine the integrity of the assessment. It is up to the judgments of the Assessor as to what circumstances might necessitate this. However, in all cases the Assessor needs to state on the front of the candidate pack how long the candidate took for the exam and the reasons for giving the candidate additional time.

- 5.4 Candidates must be informed that possessing any unauthorised equipment or resources during an assessment, whether intended for use or not, may result in disqualification.
- 5.5 In particular, candidates must be instructed to switch off any mobile phones and place them out of reach before the assessment begins. Ideally, all unauthorised items should be left outside of the assessment room.
- 5.6 Mobile phones may be used for collaborative purposes during the group work sections of Essential Digital Literacy Skills Controlled Tasks. Assessors are about to give out and take back in a candidate's mobile phone for these sections.
- 5.7 Candidates should be made aware that additional paper is available and may be used for any rough notes. Candidates must not under any circumstances take any work or notes away with them after the assessment. Any notes must be handed into the assessor and kept in a secure area between assessment sessions.

## 6 Accommodation

- 6.1 The Head of Centre is responsible for ensuring that all assessment sites meet Pearson requirements, including those in these instructions.
- 6.2 All assessment sites must be under the full control of the Head of Centre.
- 6.3 The venue must be free from extraneous noise and enable candidates to work without disturbance or interruption for the duration of the assessment.
- 6.4 Any room in which an assessment is held must provide candidates with appropriate conditions for taking the assessment. You should pay attention to conditions such as lighting, heating, ventilation and the level of outside noise.
- 6.5 No display materials which might be helpful to candidates can be visible in the assessment room.
- 6.6 The seating arrangements in the assessment room must be such as to prevent candidates from overlooking, intentionally or otherwise, the work of others, and with sufficient space to accommodate question papers and any other required materials.
- 6.7 For tasks with sections that require candidates to work together, the room should be set up to allow collaborative work to take place. Then, when these specific sections have been completed, the candidates should return to arrangements as stated in 6.6
- 6.8 Other assessments may be held simultaneously in the same room provided no disturbance is caused.

## 7 Supervision Arrangements

- 7.1 The assessments must take place under supervised conditions, that is:
  - 7.1.1 candidates must be continually supervised by a reliable person
  - 7.1.2 all necessary facilities must be available to candidates
  - 7.1.3 any time restrictions must be complied with
  - 7.1.4 candidates' work must be independent and unaided.
- 7.2 The Head of Centre must ensure that suitably 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.
- 7.3 Invigilators must give their whole attention to the proper conduct of the assessment for the whole of the time it is in progress, and there must be a sufficient number of Invigilators in the room to monitor all of the candidates present. Good practice would have one Invigilator responsible for no more than 10 candidates for the Controlled Tasks; 30 candidates for the confirmatory tests.
- 7.4 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.
- 7.5 The Head of Centre may choose to adopt more rigid procedures for the assessments than those set out in this document. This is acceptable, although no candidate should

be unfairly disadvantaged as a result.

- 7.6 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)

## 8 Before the assessments (Guidance for Assessors)

- 8.1 The **Guidance for Assessors** documents can be obtained from the secure site for Essential Skills Wales. <http://qualifications.pearson.com/en/qualifications/secure-tests/essential-skills-wales.html>
- 8.2 Centres should ensure that the **Guidance for Assessors** for the specific assessment is viewed at **four working days before the assessment is scheduled** as further guidance is provided which relates to the specific paper (e.g. particular instructions).
- 8.3 Assessors **must not** teach candidates key words from the live assessment.

## 9 Structured Discussion & Speaking and Listening

- 9.1 The Head of Centre must ensure that the following requirements are adhered to so that the Structured Discussion for EES and EDLS, together with the Speaking and Listening parts of ECommS are conducted and assessed fairly and consistently across all centres.
- 9.2 In the event where there is a single candidate, members of staff or a willing students of a similar level can be used to take part with the candidate for the Speaking and Listening part of the Controlled Task.
- 9.3 It is suggested that all candidates' assessments for EES and EDLS, together with the Speaking and Listening parts of ECommS are either video or audio recorded.  
If there are any specific reasons why a candidate should not be identified within a video or audio recording, please contact the Quality Standards team at [vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)
- Further details on acceptable evidencing of the Speaking and Listening & Structured Discussion can be found in section 4.4.3 of the Specification.
- 9.4 All video and audio recording equipment must be tested before formal assessment begins and periodically checked between recordings.
- 9.5 The candidate must clearly state their full name and candidate number at the beginning of each recording before commencing the assessment.
- 9.6 Care must be taken not to erase any recording accidentally and to ensure that each assessment recording is saved and stored securely.
- 9.7 If performances are not recorded or are inaudible, the candidate will need to take the assessment again and **must** be re-recorded.

- 9.8 If you experience technical issues and you lose a group of recordings you must contact the Quality Standards team at [vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)
- 9.9 Centres must provide good quality video/audio media with clear audio - the Standards Verifier will request to watch these during the standardisation visit.
- 9.10 All performances must be internally assessed once they have been recorded. As the person administering the Structured Discussion for EES and EDLS are required to take part in the one-to-one structured discussion it would be impractical to conduct assessment of the candidates' performances as they occur (during the recording of the assessments).
- Alternative arrangements can be made for separate Assessors to mark the candidates' performance as they occur. Any such Assessors must be members of the teaching team and be fully conversant with the national standards and the Pearson criteria.
- 9.11 All recordings should be clearly labeled with the centre name and number, the name of the Assessor(s) as well as the candidates' names, number and task completed.
- 9.12 Recording must take place in a specially allocated quiet room and any extraneous noise kept to a minimum.
- 9.13 Ensure that the recording is made of the entire assessment, including ALL contributions made by the assessor.
- 9.14 Candidate's access to dictionaries is forbidden during the Confirmatory Tests for ECommS. They are, however, allowed in all other assessments.
- 9.15 All recordings must be securely held in centres for a **minimum of three years** following certification of the candidate as they may be required for quality assurance purposes.

## How to take and store video evidence

- 9.16 The candidate should be clearly visible in the middle of the screen when recording takes place.
- 9.17 There is no need for the Assessor to be video recorded.
- 9.18 The camera should be firmly mounted on a tripod or other secure base.
- 9.19 The camera should be capable of recording on digital tape, e.g. MiniDV, CD/DVD or memory card.
- 9.20 The candidate's voice must be clearly audible – this may be through the on-board microphone. If the candidate's voice is not clearly audible then a separate microphone should be used. This could be mounted on the desk in front of the candidate or you could use a lapel microphone attached to the candidate's clothing. If a separate microphone is used this should be linked to the camera through the appropriate audio input e.g. XLR, audio jack or phono socket.
- 9.21 The finished recording should be downloaded to an appropriate device such as a desktop computer, laptop or portable device such as a tablet. Care must be taken to ensure that the individual recordings are stored in an appropriate file format.

- 9.22 The recording must **not** be edited.
- 9.23 The finished recording must be stored securely. The individual candidate recording should be stored as a file with the candidate's name and examination number in the file name.
- 9.24 The candidate's recording must be finalised in a universally acceptable format for playback such as MP4, MPEG, AVI, MKV, MOV or WMV. If the work is saved on to DVD it must be in a format that can be played on any DVD player.
- 9.25 A back-up copy of the file must be kept in an appropriate medium such as a CD, DVD or memory stick. This copy must be retained for a minimum of three years by the centre in a secure place.

Please note: It may be appropriate, in some cases, to use a handheld device to record the candidate. If this is used there must be facilities to record sound at an appropriate level. There must also be a facility to store the recordings as files and download these files to an appropriate storage device. The same checks on recording levels, clarity of sound and security of the file formats must be carried out.

## 10 Identifying candidates

- 10.1 The Invigilator(s) must be satisfied as to the identity of every candidate attending each assessment.
- 10.2 The Head of Centre must make sure that appropriate arrangements are in place so that all Invigilators can carry out adequate checks on the identity of all candidates.
- 10.3 All candidates must be registered with Pearson and/or entered for the assessment in advance. All candidates must have a registration number.

## 11 Persons present at assessment

- 11.1 Whilst the assessment is taking place, only the candidate(s), Invigilator(s) and other authorised persons should be in the room.
- 11.2 Representatives from Pearson and regulatory authorities reserve the right to observe the assessment provided candidates are not disturbed. Otherwise, only persons authorised by the Head of Centre are to be allowed in the assessment room.

## 12 Starting the assessment session

- 12.1 Before candidates are permitted to start the assessment session the Invigilator must:
  - 12.1.1 ensure that candidates are seated in accordance with 6.6 or 6.7 (dependent on the section of the candidate pack that candidates are starting with)
  - 12.1.2 inform the candidates they are now under controlled assessment conditions and, in the case of collaborative sections, the extent to which they are under controlled assessment conditions
  - 12.1.3 advise candidates that any unauthorised material must be handed in or kept out of reach (including MP3 players and any electronics that would allow collusion between candidates)

- 12.1.4 check that candidates have all the necessary material to enable them to complete the assessment as set out in the **Guidance for Assessors** document for each assessment
  - 12.1.5 arrange for candidate packs to be handed out immediately before the start of the assessment session
  - 12.1.6 if necessary, report to the Head of Centre any grounds for suspicion about the security of the question papers and, where appropriate, the Head of Centre must immediately notify Pearson
  - 12.1.7 draw to the candidates' attention the instructions printed on the first two pages of the candidate pack including the time allowed, and ask them to check that they have been given the correct paper for the assessment. Centres are allowed to read these instructions to the candidates
  - 12.1.8 ensure that details of any erratum notices, if applicable, are brought to the attention of candidates
  - 12.1.9 instruct candidates to record their personal details according to Pearson's requirements
  - 12.1.10 remind candidates that they must follow Pearson instructions on how to record and submit their work
  - 12.1.11 remind candidates that they must **not** communicate in any way with, seek assistance from or give assistance to another candidate during the assessment. They should not communicate in any way with any other candidate **except** where this is a requirement of a particular assessment
  - 12.1.12 announce clearly to the candidates when they may begin the assessment.
- 12.2 The Invigilator must not give any information to candidates about suspected errors in the question papers unless an erratum notice has been received from Pearson.

## 13 During the assessment session

- 13.1 The assessment session must take place under supervised controlled assessment conditions, that is:
- 13.1.1 the whole time the assessment is in progress, candidates must be continually supervised by a reliable person who must give complete attention to this duty at all times
  - 13.1.2 all necessary facilities must be available to candidates.
- 13.2 The Invigilator must complete an attendance list for each assessment session detailing the following:
- candidate name, date of birth and signature
  - date and time of the assessment session
  - location of assessment centre
  - version of candidate pack taken by candidate
  - Invigilator(s) name(s) and signature(s).
- Attendance lists must be held securely in centres for a **minimum of three years** following the completion of the assessment.
- 13.3 If a candidate arrives after the assessment has started, the candidate may be allowed to take the assessment provided that undue disruption is not caused to the other candidates and the security of the assessment is maintained.
- 13.4 Candidates who leave the assessment room temporarily must be accompanied to ensure the integrity of the assessment is not compromised. In these circumstances candidates may be allowed extra time to compensate for their temporary absence.

- 13.5 Candidates should be regularly made aware of the time remaining whilst taking an assessment, either through a visible clock or the Invigilator providing periodic time-checks.
- 13.6 Guidance on providing special arrangements for candidates with particular assessment requirements has been agreed between accredited awarding bodies.

Centres should refer to the Joint Council's document **Access Arrangements, Reasonable Adjustments and Special Consideration, General and Vocational Qualifications** which is available to be downloaded from: [www.jcq.org.uk](http://www.jcq.org.uk)

Please contact the Quality Standards team at Pearson with any queries on Access Arrangements and reasonable adjustments: [vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)

**Please ensure that if approval is needed for a specific arrangement that this is obtained before the candidate sits the assessment.**

If any candidate has been given additional help or support (in line with JCQ regulations) during the assessment, then details must be given on the cover sheet (the personal details/mark sheet) of the particular test paper(s).

## 14 Irregular conduct

- 14.1 If a candidate is suspected of malpractice, the Invigilator must warn the candidate that he/she may be removed from the examination room.
- 14.2 The Invigilator must record what has happened.
- 14.3 Wherever possible the Invigilator of the assessment must remove and keep any unauthorised material that a candidate may have during the assessment.
- 14.4 It is the duty of the Invigilator to ensure any cases of irregularity or misconduct in connection with the assessment are reported to the Head of Centre as soon as possible.
- 14.5 The Head of Centre is empowered to withdraw a candidate from the assessment as a last resort (e.g. when the continued presence of a candidate would cause disruption to other candidates). The Head of Centre must report all cases of suspected or actual malpractice in connection with the assessment to Pearson at [pqsmalpractice@pearson.com](mailto:pqsmalpractice@pearson.com)
- 14.6 The Head of Centre has a duty to monitor and report potential malpractice by Invigilators to Pearson at [pqsmalpractice@pearson.com](mailto:pqsmalpractice@pearson.com)
- 14.7 Any infringement of the regulations may lead to disqualification of the candidate. The decision on disqualification rests with Pearson.
- 14.8 Although Standards Verifiers aim to support centres, any suspicion of irregular conduct by centres will be investigated by Pearson and appropriate sanctions taken.
- 14.9 Standards Verifiers may request to visit centres when they carry out assessment.

## 15 Emergencies

- 15.1 In the event of an unforeseen emergency (e.g. fire alarm, bomb alert, etc.) that requires the candidate to leave the assessment room the Invigilator must first ensure the candidates' safety.
- 15.2 Where an evacuation is necessary, all candidate paperwork must be left in the assessment room. If possible, the assessment room should be made secure.
- 15.3 Candidates should remain under supervised conditions if at all possible whilst outside the assessment room. Depending on the circumstances the Invigilator and Head of Centre may consider the following:
  - 15.3.1 if an assessment has only just started (e.g. within the first ten minutes) the candidates can return to the assessment and continue, ensuring candidates are given their overall time allowance and times are noted on the front page of the candidate pack.
  - 15.3.2 consideration may be given to the possibility of taking the candidates, with question papers and scripts, to another place in order to complete the assessment.
- 15.4 If an emergency results in an evacuation, the Head of Centre must ensure Pearson is informed directly at [vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)
- 15.5 After the candidates have returned to the assessment room and before the assessment is resumed, indicate on the candidates' work, where it is feasible to do so, the point at which the interruption occurred.
- 15.6 Centres should make a full report of the incident and of the action taken for submission to Pearson at [vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)

## 16 Ending the assessment session

- 16.1 Candidates may be permitted to leave the room before the end of the assessment session provided that no disruption is caused to the remaining candidates and the integrity of the assessments is not compromised. Candidates who have left a supervised environment may not be re-admitted to the assessment room until the beginning of the next assessment session. The Head of Centre must consider any potential for the assessment to become compromised and ensure the Invigilator is advised of the centre's policy.
- 16.2 Candidates must be given their full time allowance even if they have arrived later than their scheduled start time.
- 16.3 The Invigilator should check that candidates taking Controlled Tasks have completed all the necessary information on the front page of the candidate pack.
- 16.4 All candidate packs and candidate evidence must be collected before the candidates leave the room to ensure that none are accidentally removed.
- 16.5 All candidates packs and candidate evidence scripts should be handed to the Head of Centre or Examination Officer and kept securely between assessment sessions and until marking is due to take place.
- 16.6 Teachers/Assessors who mark candidate evidence should ensure that the work is kept in a secure place until marking is complete. For security/storage requirements

see **JCQ ICE** section 1.3 and the table on page 8 of this document.

- 16.7 Controlled tasks, candidate packs and candidate evidence must be stored securely until they are externally verified by the Standards Verifier. For security/storage requirements see **JCQ ICE** section 1.3 and the table on page 8 of this document.

## 17 Timing of Controlled Task Assessments

- 17.1 All Controlled Tasks must be completed within the time stated, e.g. during 5 hours at Level 2
- 17.2 Must be completed during the allocated 8 week time period. If a candidate is required to work over 8 weeks for any reason, e.g. absence, this should be noted on the front of the candidate pack.
- 17.3 The 8 week time period to for the controlled tasks does not include academic holiday periods.
- 17.4 All the times of each individual assessment session must be noted on the front page of the candidate pack.

## 18 Marking question papers

- 18.1 Teachers/Assessors must not mark in a public place.

## 19 Internal verification

- 19.1 All candidates' completed packs must be subject to the internal verification sampling process. Centres should refer to the **Centre Guide to Internal Verification** which can be found on the following link <http://qualifications.pearson.com/en/about-us/qualification-brands/btec/delivering-btec/key-documents.html> Please click on 'Download UK centre guides' and scroll down to the fourth document.

## 20 Handling and disposing of materials

As all assessment materials will continue to be live until written confirmation has been given from Pearson confirming the release of the set as practice tasks, centres must continue to store all question papers securely even after the Standards Verifier has visited the centre. Centres **must** keep all assessments (including candidate packs) for **15 working days** after their certificate has been received and checked. Records of assessment and internal verification of assessments should be maintained for a **minimum of three years**.

## 21 Standards Verification

- 21.1 Before the visit, the Standards Verifier will agree with the Programme Manager or Lead Internal Verifier the skills and levels to be sampled.

- 21.2 All tasks and recordings requested by the Standards Verifier must be made available during the centre visit so that the Standards Verifier can carry out the sampling process efficiently.
- 21.3 **Please note** that only original candidate tasks will be accepted by the Standards Verifier during a visit. Photocopied tasks will **not** be accepted.
- 21.4 **Please note** that, during postal sampling, all parcels containing a sample of completed controlled assessments should be sent using a secure postal service which allows tracking parcels. These must **not** be send using email.
- 21.5 Candidate packs should **not** be given to candidates after an assessment has been sat. If a candidate has failed an assessment, formative feedback should be given. Assessors should ensure that they are aware of which parts the candidate did not pass and the criteria covered by those parts. The candidate can then be given information on which skills need more work before another assessment can be taken.

## 22 Access arrangements

- 22.1 Centres are advised to consult the Quality Standards team ([vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)) if they are unsure that access arrangements will be appropriate before they undertake to register the candidate for the assessment, requiring skills to be demonstrated which are beyond the scope of the candidate.
- 22.2 The Centre is not required to have every candidate individually assessed by a specialist.
- 22.3 The centre is required to have determined the needs of the candidate within the classroom situation and in the light of those arrangements which have to be made part of the normal working practices.
- 22.4 Centres should refer to the JCQ document **Access Arrangements, Reasonable Adjustments and Special Consideration, General and Vocational Qualifications** which is available for download from: <http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration>
- 22.5 Any access arrangements given must be documented on the front cover of the candidate's test paper.
- 22.6 Modified papers (i.e. modified enlarged, un-modified enlarged, Braille) should be requested through the Quality Standards team: [vocationalqualitystandards@pearson.com](mailto:vocationalqualitystandards@pearson.com)

## 23 Readers

- 23.1 A reader is required to read, on request, all or part of the assessment or any part of the candidate's response.
- 23.2 A reader must read accurately and at a reasonable rate. A reader may repeat as necessary any instructions given in the Controlled Task, as well as the question and answers already recorded.

- 23.3 A reader may assist a visually impaired candidate using tactile diagrams, graphs and tables to obtain the information which the printed paper would give to a sighted candidate.
- 23.4 A reader must, if required, spell out any word which occurs in the Controlled Task.
- 23.5 A reader must be prepared for periods of inactivity.
- 23.6 Readers cannot be used for reading assessments.

## 24 Scribes

- 24.1 A scribe is required to write out answers as they are dictated by the candidate.
- 24.2 A scribe must write legibly, at a reasonable speed and should have working knowledge of the subject.
- 24.3 A scribe must write down the answers exactly as they are dictated.
- 24.4 A scribe must draw or add to diagrams strictly in accordance with the candidate's instructions.
- 24.5 The candidate will not be expected to dictate spellings. If spelling is being assessed, then they must dictate spellings.
- 24.6 A scribe should work at the candidate's pace.
- 24.7 A scribe should not be used for writing assessments.

## 25 Sign interpreters

- 25.1 A sign interpreter is required to communicate questions to the candidate upon request.
- 25.2 A sign interpreter is not a reader.
- 25.3 A sign interpreter 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.
- 25.4 Candidates who are signing their responses must not be in a position to see other candidates' signed responses.
- 25.5 A sign interpreter should work at the candidate's pace.
- 25.6 A signed interpreter is permitted for written questions and responses but not for

Speaking and Listening assessments.

## **26 Readers, scribes, communicators and practical assistants**

- 26.1 When a candidate is assisted by a reader, scribe or sign interpreter help must not be given with the subject matter being assessed.
- 26.2 This support must not give the candidate an unfair advantage or disadvantage. It must not invalidate the assessment.
- 26.3 Additional time may also be available and a separate room may be necessary if the candidate is to dictate responses, in which case a separate invigilator will be required.
- 26.4 The Head of Centre/Examinations Officer should ensure that readers, scribes, sign interpreters and practical assistants are acceptable and responsible adults, familiar with the subject matter being tested and have worked with the candidate(s) before the assessment.
- 26.5 A relative of the candidate must not act as a reader, scribe, sign interpreter or practical assistant.