



# Controlled Assessments Policy (Open Awards)

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## Introduction

This policy sets out the procedures for the organisation, conducting, and invigilation, of controlled assessments for Open Awards qualifications. It also outlines the procedures for resits.

This policy should be read alongside the Running Deer:

- Assessment Policy  
<https://www.runningdeerschool.org.uk/resources/gateway-and-open-awards-assessment-policies.pdf>
- Equality and Diversity Policy  
<https://www.runningdeerschool.org.uk/resources/equality-and-diversity-policy.pdf>
- SEND Policy  
<https://www.runningdeerschool.org.uk/resources/send-policy-and-information-report.pdf>

## Definitions

Controlled assessment	A type of formative assessment of the learning outcomes where the supervision of learner assessment is required. Controlled assessments may cover a range of assessment methods such as practical tasks, written questions, multiple choice/short answer and knowledge assessment tasks.
Invigilator	The person in the assessment room responsible for conducting a particular assessment session. The role of the invigilator is to: Ensure all learners have an equal opportunity to demonstrate their abilities Ensure the security of the assessment before, during and after the assessment Prevent possible candidate malpractice Prevent possible administrative failures

Supervision	The simultaneous physical (or simultaneous electronic) presence of a learner and a lecturer, supervisor, assessor, tutor or other appropriate provider of education or training provided to a learner.
Ratio of invigilator: learners	For paper-based assessments, the invigilator to learner ratio must be no more than 1:30. For on-screen assessments, the invigilator to learner ratio must be no more than 1:20.

## Conducting Controlled Assessments

### Assessment Venue Requirements

Running Deer will ensure that all controlled assessments take place in an appropriate assessment environment. Whilst controlled assessments will normally take place at the school / centre's registered address, assessments may be carried out at other venues subject to the following conditions being met:

- The venue meets the requirements in this document
- The school advises Open Awards of the location of the venue before the assessment takes place
- The school recognises that Open Awards may require access to the venue for the purposes of inspection and/or spot checks
- Transport, handling and storage of assessment materials from the main school /centre address to an alternative assessment venue is carried out with regard to the security and integrity of assessment materials, before, during and after the assessment.

Running Deer school will maintain records of how assessment venues meet these requirements, which will be made available to Open Awards on request. We acknowledge that false or misleading statements in respect of assessment venues may result in immediate suspension or withdrawal of centre approval, and assessment papers may be declared void.

### The Room

Any room in which an assessment is held will provide learners with appropriate conditions for taking the assessment. Particular attention will be given to conditions such as:

- Heating
- Lighting
- Ventilation
- Noise outside the assessment room
- Health and safety

Only authorised members of staff (i.e. invigilator or exams officer) will be present in the assessment room.

The room will include sufficient space at the front for the invigilator to sit.

For computer-based assessments, an appropriately trained administrator will be available during the assessment to deal with any technical queries that may arise. Where possible, at least one additional PC will be available in the event of equipment failure.

Only learners actually sitting the assessment will be present in the assessment room whilst an assessment is taking place.

Running Deer will make provision for learners to securely store their personal belongings outside the room or within the room, but out of reach. Access to personal belongings will be monitored by the invigilator throughout the assessment.

## **Seating Arrangements**

Seats and desks must be in a good state of repair to allow learners to complete an assessment without distracting the learner.

Seating arrangements must prevent learners from overlooking the work of others. In particular, the minimum distance in all directions from centre to centre of learners' chairs must be 1.25 metres. There should also be space for the Invigilator and any technical support required.

Wherever possible, for written assessments:

- all learners should face in the same direction
- each learner should have a separate desk or table large enough to hold question papers. Learners who are not seated at individual desks must be far enough apart (minimum 1.25m) so that their work cannot be seen by, and contact cannot be made with, other learners

For computer-based assessments:

- the room layout must be planned to prevent work being overseen by other learners or contact made with other learners
- there must be at least 1.5 metres from the centre of each screen to the centre of the next screen
- consideration should be given to dividing workspaces with booths, or partitions (temporary or permanent)
- the clock must be displayed on every computer screen in use
- there must be a lower invigilator: learner ratio than for written assessments

Learners must not be permitted to change seats unless they are asked to do so by the invigilator.

Running Deer School will create a seating plan that shows the position of each candidate in the assessment venue. Any changes made to seating arrangements during the assessment must be recorded on the seating plan.

The seating plan will be retained by the Running Deer School for at least a year after the assessment and made available to Open Awards on request and/or as part of spot-checks or quality assurance visits.

Learners for whom reasonable adjustments<sup>1</sup> have been made will be clearly identified on the seating plan.

## **Display Materials**

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<sup>1</sup> [Reasonable adjustments and special considerations policy and procedures](#)

Display materials such as posters, wall charts, information leaflets or other visual stimuli which might be helpful to learners must not be visible in the assessment room.

The following items must be on display in the assessment room:

- A poster advising learners that mobile devices are not allowed in the assessment room (see Appendix 1)
- Assessment warning notice for learners (see Appendix 3)
- Centre appeals procedure
- Emergency/evacuation procedures
- Start/finish times, and date, of the assessment
- Centre number
- A reliable clock (or other suitable time keeping device e.g. time displayed via a computer screen) must be visible to each learner in the assessment room and the clock/display must be large enough for all learners to read clearly

There must be a sign, clearly visible to others in the building, that an assessment is taking place (see Appendix 2)

### **Access to resources**

The resources a learner is allowed to access are listed on the front page of the assessment. Any learners found to have any unauthorised material in the assessment room (whether or not they intend to use it) may be considered as malpractice.

Learners must be given prior notice of any materials needed for the assessment.

### **Using calculators**

Learners may only use a calculator in an assessment if the instructions on the question paper clearly state they can be used.

Where the use of a calculator is allowed, learners are responsible for making sure that their calculators meet Open Awards regulations as per their Controlled Assessment policy.

Invigilators may also issue suitable calculators to learners, if required.

***Please note, for Functional Skills Mathematics qualifications: A non-scientific calculator must be used.***

## **Invigilation Guidance**

### **The role of the invigilator**

The invigilator is the person in the assessment room responsible for conducting a particular assessment session. The role of the invigilator is to:

- Ensure all learners have an equal opportunity to demonstrate their abilities
- Ensure the security of the assessment before, during and after the assessment
- Prevent possible learner malpractice
- Prevent possible administrative failures

Invigilators must ensure they are familiar with the requirements outlined below and that they give their full attention to conducting the assessment properly.

Invigilators must not carry out any other task (for example reading a book or marking) in the assessment room.

The invigilator to learner ratio is a minimum of 1:30 for paper-based assessments and 1:20 for on-screen assessments.

Running Deer will ensure that there are sufficient invigilators to monitor all learners at all times. When only one invigilator is present, he or she will be able to get help easily without leaving the assessment room and without disturbing learners through the use of a radio.

Running Deer will have systems and checks in place to ensure that an assessment is not undertaken or invigilated by anyone who has a personal interest in the result of the assessment – please see the Assessment Policy

**Please note for Functional Skills Qualifications:**

No person who teaches, or has any role in the delivery of a level 1 or 2 Functional Skills qualification can be responsible for the invigilation of paper-based or on-screen assessments for that subject (regardless of the level they teach), even if they have not taught that cohort.

An invigilator cannot be a current learner at the centre or any relative, friend or peer of a learner in the assessment room.

Any potential or actual conflicts identified by Running Deer will be reported to Open Awards before the test so that alternative arrangements can be made.

**Starting the assessment**

Before the assessment starts, the Invigilator must:

- Check that the relevant notices are displayed and that there is a clock which is visible to all learners
- Check the identity of all candidates using photographic ID (e.g. passport, driver's license or college issued ID card) and that the relevant section of the Assessment Front Cover Sheet has been completed to show attendance
- Confirm there are no conflicts of interest between invigilator and learners
- Advise learners who are unable to provide the required identity documents and photograph that they cannot sit the assessment, and that they must leave the assessment room (unless their identity can be verified by their assessor)
- Make sure that the seating arrangements meet Open Awards assessment venue requirements
- Inform learners that they must follow the regulations of the assessment (for paper based or for on-screen assessments)
- Ensure that learners do not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject
- Ensure that no course materials can be seen by any learners
- Ensure that learners do not have access to potential technological/ web enabled sources of information, such as:
  - iPods/ iWatches
  - mobile phones
  - MP3/4 players
  - wrist watches which have a data storage device
- Advise learners of emergency/evacuation procedures

For paper-based assessments:

- Open the packets of assessment papers, in the assessment room in front of the learners, and distribute to learners (face-up on the desk).
- This includes any modified papers o Check that learners have the correct paper

For on-screen assessments:

- Distribute individual log in details to learners
- Ask learners to check they have the right log in details before log-in

The Invigilator must:

- Announce clearly to learners when they may begin
- Specify the start and finish time of the assessment, and the earliest time that learners can leave the assessment room (a minimum of 30 minutes after the start)
- Remind learners that they cannot communicate in any way with, ask for help from or give help to another learner while they are in the assessment room
- Only answer questions from learners about the instructions on the front of the assessment paper

The Invigilator must not:

- Make any comment where a learner believes that there is an error or omission on the question paper. However, in this situation, the invigilator must refer the matter to the Head of the Centre, who should send a report to Open Awards
- Give any information to learners about possible mistakes in the question paper, unless there is an erratum notice, or permission has been given by Open Awards
- Read aloud any content of the assessment paper, other than the instructions on the front cover
- Offer advice, re-phrase or explain a question for a learner
- Comment on the work of a learner

## **During the assessment**

Invigilators must supervise learners throughout the whole time that an assessment is in progress.

This means that:

- Invigilators must give complete attention to this duty at all times
- Invigilators must not carry out any other task (e.g. doing other work, using a mobile phone) in the assessment room
- Invigilators are required to move around the assessment room, quietly and at frequent intervals
- Invigilators must monitor the use of ICT where assessments are on-screen to ensure that learners are not accessing material, applications or software that is not allowed.

## **Learners who arrive late**

A learner who arrives after the start of an assessment may be allowed to enter the assessment room and sit the assessment. This is at the discretion of the school.

Learners who arrive after the start of the assessment should be allowed the full time for the assessment, depending on the centre's organisational arrangements and provided adequate supervision arrangements are in place.

In accordance with JCQ guidance, centres in the UK are allowed to start controlled assessments by up to 30 minutes earlier than, or later than, the scheduled starting time for the session, without the need to complete any paperwork. Prior permission from an awarding organisation is not required. Where this policy is followed, to avoid any possible breach of security, late arriving candidates or early departing candidates must be supervised as if the specified starting time had been in place.

In all circumstances, the security of the assessment paper must be assured.

### **Summoning help during an assessment**

When only one Invigilator is present in an assessment, they must be able to summon help, in case of an emergency, without leaving the room or disturbing learners. A mobile phone may be used, and must be switched to silent alert, so as not to disturb learners.

### **Leaving the assessment room**

Learners are not permitted to leave the assessment room until at least 30 minutes after the scheduled assessment start time (other than in an emergency/medical situation).

Where learners have completed their assessment and are permitted to leave before the finish time, they must be instructed to do so quietly, without causing undue distraction to others. Their assessment paper must be collected before they leave the assessment room.

Under no circumstances must assessment papers leave the assessment room before the end of the assessment.

### **Emergencies**

The invigilator will take the following action in an emergency such as fire evacuation or bomb alert:

- Stop the learners from writing
- Collect the attendance sheet and evacuate the assessment room in line with the centre's procedure
- Advise candidates to leave the assessment papers and scripts in the assessment room and to leave the room in silence
- Ensure that learners are supervised as closely as possible while they are out of the assessment room to ensure there is no discussion about the assessment papers
- Record the time of the interruption and how long it lasted
- Make a full report of the incident and the action taken, and send it to Open Awards
- Where the incident may have adversely affected learners' ability to complete the assessment, Running Deer will follow the special considerations procedure<sup>2</sup>.

When possible, when the assessment is resumed, learners will be allowed the full scheduled time set for the assessment.

As each emergency situation will be different, advice will be sought from Open Awards as soon as it is safe and practicable to do so. Any concerns about a potential breach of the security of an assessment paper will be reported to Open Awards immediately.

### **Ending the assessment**

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<sup>2</sup> [Reasonable Adjustments and Special Considerations Policy and Procedures](#)

When ending the assessment, Invigilators will give sufficient notice to learners. This is normally achieved by giving fifteen minute and five minute warnings prior to the published finish time. For on-screen assessments, the clock on-screen will change colour when there are fifteen minutes of the assessment remaining.

Ensure that each learner that has been granted extra time and/or supervised rest breaks is not disrupted by these warnings and is allocated the correct individual amount of time.

At the end of the assessment, invigilators must tell the learners to stop working and remind them that they are still under controlled assessment conditions:

Instruct learners taking paper-based assessments to:

- Ensure they have put all necessary information on their answer booklets and any additional answer sheets
- Ensure they put any loose additional answer sheets inside the answer booklet, and then firmly attach them to the booklet
- Ensure any resource documents are returned with the answer booklet. These must not be retained by the learner or the centre and must be returned to Open Awards with the answer booklet.

Instruct learners taking online assessments to:

- Ensure any work is saved and secure from unauthorised access
- Return any assessment material, including copies of learner's work, print-outs and/or assessment papers
- Return any scrap paper to be recycled

All paper-based assessment papers must be collected and placed in secure storage prior to submitting to Open Awards for marking. The invigilator must check that every question and answer booklet and any resource documents have been returned before the learners are allowed to leave the room.

The invigilator must also check that:

- The names on the answer books match the details on the attendance list
- The learners have used their correct centre and learner ID numbers

At no point must any indication be given to learners as to whether it is believed that they have passed or failed the assessment. The marking of assessment papers by centre staff, to pre-empt awards will be treated as malpractice and could result in the withdrawal of centre approval.

Assessment papers must be sent according to the instructions provided within the specified timeframe of the assessment.

The attendance sheet should be either retained or returned to Open Awards in line with the guidance including in the individual qualification specifications; or as requested by Open Awards in the case of any issues occurring that Open Awards or the marker need to be made aware of.

## **Storage and security of assessments and confidential information**

Centres must be able to demonstrate that appropriate security systems are in place to prevent unauthorised access to assessment materials. This will be checked as part of Open Awards external

quality assurance procedures including through scheduled quality assurance visits and unannounced centre visits to monitor live tests.

*Please note for Functional Skills Qualifications:*

#### Administration of Assessments

*'Administration' includes initial receipt of confidential materials, secure storage, movement and preparation of materials for scheduled assessments, and registration, secure storage and return of materials to the awarding organisation after scheduled assessments are completed*

*No person who teaches or has any responsibility in the delivery or assessment of a level 1 or 2 Functional Skills qualification can be involved in the administration of the assessment materials for level 1 and 2 exams in that subject (regardless of the level they teach), even if they have not taught that cohort.*

#### **Security for paper-based assessments**

Assessment papers, or any of the content within, cannot be retained or copied after assessments, for teaching or assessment practice. All instructions within qualification specifications and contained within assessment papers and resources must be adhered to.

The contents of all materials must be treated as strictly confidential and should not be shared with anyone other than those taking or administering the assessments. Copies may not be issued to anyone, including teaching staff.

Assessment papers and any other confidential material e.g. answer booklets, will be stored in a safe in the Head of School's office (a secure, locked room), with restricted access.

Open Awards will be notified immediately if any known or suspected infringement of these conditions take place.

Question papers and confidential material will be received by the exams officer and will be stored in the safe.

Only staff authorised to have access to examination material will have access to this safe.

It is the responsibility of the Head of School to ensure that only appropriate invigilation staff are given the examination material, and that this material is returned to the safe by the exams officer, before return to Open Awards. It is also the responsibility of the Head of Centre to monitor any conflicts of interest which may arise.

Envelopes and boxes containing confidential materials will be signed for and a log will be kept recording the receipt, movement and despatch of confidential assessment materials including, if appropriate, the number of boxes/packets received. This log must be made available for review on request.

Live assessment materials will be stored securely at all times both before and after assessments.

All assessment papers issued by Open Awards will be returned as instructed, by the exams officer, including any unused papers or materials.

#### **Security for online assessments**

Running Deer school will have the relevant software installed to administer the tests and demonstrate that the appropriate security systems are in place to prevent unauthorised access to the test/assessment materials.

Electronic assessment materials will only be accessed in accordance with Open Awards' instructions.

Assessment access codes will be stored securely, under the responsibility of the Head of School, and only given to learners at the time of the assessment. The invigilator must check the identify of each learner to ensure the correct access code is given to each learner. The invigilator must oversee the input of the access code for each learner to ensure that the learner has checked that the name on the test screen is correct.

If an invigilator, or learner, becomes aware that an assessment is being sat in the wrong name, the assessment must be stopped. This may constitute malpractice.

Centres must have appropriate security systems and procedures in place to prevent candidates using computers/laptops in assessments having authorised external communication with other users of computers/laptops.

## **Resits**

Any learner has the right to resit the controlled assessment if they are unsuccessful. However, it is up to the school to make sure the learner is ready for the assessment, to avoid multiple resits. If a learner has resat the assessment three times, the school will contact the Open Awards Lead Quality reviewer.

The resit can be booked from two weeks after the receipt of the original assessment outcome.

The resit will be taken at Running Deer School, under the same conditions as the original controlled assessment.



**NO MOBILE PHONES,  
iPODs, SMART WATCHES,  
MP3/4 PLAYERS  
NO POTENTIAL  
TECHNOLOGICAL/WEB ENABLED  
SOURCES OF INFORMATION**

**Possession of unauthorised items, such as a  
mobile phone, is a serious offence and could  
result in**

**DISQUALIFICATION**  
**from your assessment and your overall  
qualification.**

**This poster must be displayed in a prominent place outside  
each assessment room.**



**QUIET**  
**Assessments in**  
**progress**

1. You **must** be on time for all your assessments.
2. You **must not** become involved in any unfair or dishonest practice in any part of the assessment.
3. You **must not**:
  - sit an assessment in the name of another candidate;
  - have in your possession any unauthorised material or equipment which might give you an unfair advantage.
4. **Possession of a mobile phone** or other unauthorised material **is breaking the rules**, even if you do not intend to use it, and you will be subject to penalty and possible disqualification.
5. You **must not** talk to, attempt to communicate with or disturb other candidates once you have entered the assessment room.
6. You **must** follow the instructions of the invigilator.
7. If you are in any doubt speak to the invigilator.

The Warning to Learners must be displayed in a prominent place outside each assessment room. This may be a hard copy A3 paper version or an image of the poster projected onto a wall or screen for all candidates to see.