



**Conducting assessments in examination  
conditions**

***Centre Handbook***

(Issue 2 – September 2014)

## ABOUT THE CENTRE HANDBOOK

This handbook sets out the awarding body requirements for any CABWI approved assessment centre wishing to provide qualifications that require assessment or testing to take place in examination conditions.

The document covers the requirements for facilities, personnel and administration of assessments, but does not refer to individual qualifications or suites of qualifications. Details that are specific to particular qualifications will be covered in relevant scheme guidance.

If you or your centre has any queries relating to this handbook or to the administration of tests, please contact either your allocated external verifier (EV) or the CABWI office (Tel: 020 7469 2641; E-mail: [enquiries@cabwi.co.uk](mailto:enquiries@cabwi.co.uk)).

This guidance will be produced and distributed electronically, and made available via the CABWI website (<http://www.cabwi.co.uk>), though CABWI can provide hard copies on request.

Further information relating to the delivery of CABWI qualifications, including copies of CABWI's current forms and general centre guidance, may be obtained direct from the CABWI office (please address your requests to The Office Administrator):

CABWI Awarding Body  
Holland House  
1-4 Bury Street  
London  
EC3A 5AW

Tel: 020 7649 2641  
Fax: 020 7117 1008  
E-mail: [enquiries@cabwi.co.uk](mailto:enquiries@cabwi.co.uk)  
Website: <http://www.cabwi.co.uk>

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# CONTENTS

	Page
<b>Introduction</b>	4
<b>A. Resources for assessments</b>	5
A.1 Security of question papers and other materials	5
A.2 Reference materials and calculators	6
A.3 The assessment environment	7
A.4 Personnel involved in delivering assessments	8
A.5 Invigilation arrangements	10
A.6 Access arrangements and special considerations	11
A.7 Timetabling of assessments	12
<b>B. Delivering assessments in examination conditions</b>	13
B.1 Identifying learners	13
B.2 Staff roles and responsibilities	13
B.3 Question papers and other materials	14
B.4 Starting the assessment	14
B.5 During the assessment	15
B.6 Finishing the assessment	17
B.7 Marking and storage of completed scripts	17
B.8 Malpractice	18
B.9 Emergencies	18
B.10 Internal verification	18
B.11 External verification	19

## **INTRODUCTION**

### ***Delivering CABWI assessments in examination conditions***

This guidance is intended to outline the requirements for and provide support to CABWI assessment centres conducting assessments for CABWI schemes in examination conditions. The requirements support a number of different schemes, including the knowledge assessments conducted for QCF knowledge-based qualifications, and the Street Works reassessment scheme. Centres should use this guidance document in conjunction with any CABWI qualification-specific guidance relating to the schemes that they deliver.

The guidance covers the facilities and resource requirements that must be in place for the conduct of assessment in examination conditions, the requirements for centre personnel involved in their delivery, and the invigilation and administration of assessment.

If the assessment team identifies any queries or issues arising from this guidance, please contact your external verifier or the CABWI office in the first instance, or complete the feedback form provided as Appendix 8. We can then provide advice on the most suitable course of action and publish any relevant updates or changes to arrangements.

## A. RESOURCES FOR ASSESSMENTS

This section outlines the resources required, in general, to deliver CABWI assessments in a classroom environment, in examination conditions. These requirements are not specific to any scheme, and must be implemented in conjunction with any qualification-specific guidance that CABWI has issued.

### A.1 Security of question papers and other materials

Subject to qualification-specific requirements, CABWI will normally make centrally-set question papers and other confidential assessment materials available to approved centres in one or more of the following ways:

- in a downloadable format, from the CABWI website. The documents will normally be made available in password-protected format, with access passwords supplied separately to authorised centre personnel.
- on CD, delivered securely by post to an authorised individual at the centre. The documents will normally be supplied in password-protected format, with access passwords sent separately to authorised centre personnel.
- in hard copy, delivered securely by post to an authorised individual at the centre.

The centre should keep a record of all confidential material received from CABWI, for use in assessments.

It is the responsibility of the centre to check and confirm that all of the required question papers and assessment materials are available, in advance of any assessment event. If a centre has any problems in accessing documentation, or with the documents that it has available, CABWI must be informed immediately so that the situation can be rectified.

The centre must also ensure that question papers and related material to be used in assessments:

- are stored at the centre, in secure storage facilities, when not in use, and are not removed from the centre.
- cannot be accessed by unauthorised personnel.
- are accessed only in line with CABWI's specific requirements. For example, some documents may be available for download only by authorised centre personnel.
- are issued to learners only at the time of assessment, and are collected at the end of the assessment session.
- are kept in secure storage before and after any assessment in which they have been used.
- are not used as sample or practice material for any qualifications.

The centre must ensure that a record is maintained of when assessment materials are taken from or put into secure storage, including completed learner scripts and responses.

The centre must also ensure that it retains all question papers and assessment materials issued to learners during an assessment, and that learners' responses to questions, completed scripts and any rough working information are retained and stored securely at the centre. This will help to ensure that no copies of this material can be shared by learners with each other.

### Examples of secure storage arrangements

Secure storage arrangements may vary between centres, but the following are examples of secure storage that could be used (*please note*: this is not a prescriptive list, but intended to provide some guidance relating to the types of arrangements that could be made):

- strong safe – smaller safes fixed securely in place
- security cabinet
- metal cabinet with locking bar, bolted to wall or floor

- secure room in a fixed building (this could be on an upper floor, with no windows)
- walls, ceiling and floor of strong, solid construction
- solid or reinforced door (any glass panels must be toughened safety glass)
- strong secure hinges
- security lock (e.g. 5-lever mortise lock, coded keypad, etc)
- use of alarm systems as appropriate
- a small number of authorised key holders (2 or 3 people).

If the centre identifies any risk to the security of question papers, or other assessment materials, CABWI must be advised immediately. This includes any natural disaster, fire, theft, loss or damage.

## **A.2 Reference materials and calculators**

The following paragraphs set out CABWI's requirements for reference materials and calculators that are used in assessments.

Centres **must** ensure that learners do not have any unauthorised items (including reference materials or calculators if not permitted) with them during their assessments. Learners must be warned as part of any pre-assessment briefing that they may not take unauthorised items into the assessment, and that it is considered to be malpractice for a learner to take unauthorised items into, or have access to unauthorised items during, assessments. (Please refer to Section B.7 on Malpractice for further information.)

Learners are **not** permitted to take mobile telephones or other communication devices into the assessment.

### **Reference materials**

Reference documents may be used during some assessments. CABWI's qualification-specific guidance will provide detail of the guidance documents that may be used, and of the assessments in which they can be used. Guidance may also be provided regarding whether the centre must provide reference materials, or whether learners may provide their own.

If a learner is responsible for providing their own reference materials, the centre must ensure that they are notified of this requirement in advance of the assessment event, and that they are informed that the materials used must be current, clean copies.

Learners may not take resources such as reference materials into any assessment where their use is not permitted, or into any assessment which does not list the specific resources in the assessment documents or the relevant centre guidance.

It is the responsibility of the centre to ensure that any resources used in assessments, whether supplied by the centre or by the learner, are clean copies of the current specified material, which do not contain any notes or other additional material. This may mean that the centre requires learners to arrive at the centre some time in advance of the assessment, to allow for checks to take place.

### **Calculators**

Calculators may also be used in some assessments, in line with the requirements of any qualification-specific guidance. Calculators may be supplied by either the centre or the learner, and any calculator used must:

- be of a size suitable for use on the desk
- be either battery-powered or solar-powered.

Any calculator used must **not**:

- be designed or adapted to offer any of the following:
  - language translators

- communication with other machines or with the internet
- symbolic algebra manipulation
- symbolic differentiation or integration
- have retrievable information stored in it, such as databanks, dictionaries, mathematical formulae or text.
- be borrowed from any other learner during an assessment.

The learner must ensure before using a calculator that it has a suitable power supply, and is in good working condition. In the event that any problem is identified with a calculator intended for use during assessment, the centre may provide a replacement calculator to a learner.

If the centre requires learners to supply calculators for use during assessments, they must be notified of the requirements relating to calculators in advance of the assessment. The centre must reserve the right to check any calculators supplied by learners to ensure that they meet the relevant requirements. This may mean that learners are required to arrive at the centre with sufficient time to spare in advance of assessment, to allow for checks to be made.

### **A.3 The assessment environment**

Centres must ensure that an appropriate environment is used for assessments, that meets the awarding body's requirements.

#### **Location**

Centres will be asked to provide details of any locations they wish to use for carrying out assessment in examination conditions, as part of the approval process for the qualification(s). Please note that centres must use **only** locations that have been approved by CABWI. If, after approval, additional locations are identified, the centre must seek approval for their use from CABWI, supplying information about the facilities available. This information will, typically, cover:

- address and details of the premises and facilities to be used
- details of the personnel who will be involved in administering the assessment process
- confirmation of the maximum number of learners that the centre can assess during each session
- confirmation of how CABWI's requirements for the assessment environment will be met
- confirmation of the secure storage arrangements relating to assessment materials used at the additional location.

All learners must sit their examination(s) at one of the centre's approved locations for conducting assessments in examination conditions.

In the event that unforeseen circumstances on the day of the assessment necessitate that the centre uses alternative accommodation for assessment purposes, the centre must make a full report of this to CABWI, confirming the details of the premises used, and how it meets CABWI's requirements. In this instance, CABWI may reserve the right to ask the external verifier to sample the completed assessments before achievements can be confirmed and certificates issued. Please note that it is not acceptable to use 'alternative accommodation' arrangements on a regular basis, in lieu of gaining CABWI location approval.

Where alternative accommodation is used, as above, the centre must also confirm that all requirements are met for the security of question papers, learners' work, and any related assessment documentation, before, during and after the assessment.

The centre must notify CABWI of any proposed changes to its assessment location(s), including changes to address, secure storage arrangements, assessment rooms or other relevant facilities. EV approval of the proposed changes may be required prior to assessments taking place.

### **Environment**

1. Centres must ensure that they provide a suitable environment for assessments delivered under examination conditions. The invigilator or other authorised centre personnel are advised to maintain checks to ensure that suitable arrangements are in place.
2. Any room that is used for assessment purposes must have appropriate levels of heating, lighting and ventilation. The level of external noise audible in the room should be kept to a minimum.
3. The centre must ensure that learners cannot overlook the work of other learners during the assessment. There must be **a minimum distance of 1.25 metres in all directions** from centre to centre of learners' chairs. All learners should, where possible, face in the same direction.
4. It is expected that each learner will have a separate desk or table, which is large enough to hold question papers, answer papers and any resources permitted for the assessment. **(N.B.** If the centre cannot provide individual desks for all learners, it must ensure that the minimum distance from centre to centre of learners' chairs is maintained, and that learners can neither see the work of other learners nor make contact with other learners during the assessment. The centre's external verifier may need to observe any such arrangements in action, to confirm that the appropriate requirements are met.)
5. Any display material that may provide assistance to learners (e.g. charts, diagrams, wall charts, projected images) must not be visible in the assessment room.
6. A reliable clock must be visible to every learner taking the assessment. The clock must be large enough for all learners to read the time clearly. The centre should ensure that all clocks in the assessment room show the same time, and that they are checked regularly to maintain them in good working order.
7. The centre must also ensure that details of the centre number and the starting and finishing times of the assessment are visible to all learners in the assessment.
8. The invigilator or other centre personnel should create a seating plan or make a note of where each learner sits during the assessment (there may be qualification-specific requirements for this). This is useful during the assessment, and also so that the invigilator can ensure that the requirements of any learners with access arrangements or particular assessment requirements are met.
9. The centre should consider how arrangements will be made for the storage of any personal belongings that the learners bring to the assessment location (e.g. bags, coats etc). Some centres may have the facilities for personal items to be stored outside the assessment room, but others may need to consider and advise learners on requirements for storing personal items, that cannot be used during an assessment, within the room. In this instance, the items must be placed outside the reach of learners and the invigilator must be able to monitor access to them during the assessment.

Centres may wish to hold more than one different assessment event in the same room at the same time (e.g. for learners sitting different papers within the same scheme, or for learners working on different qualifications or schemes). This is acceptable, providing that all of the requirements above can be met for each scheme, and that no disruption is caused to one assessment session by the administration of another. It makes sense, if different papers are being used during the same session, to ensure as far as possible that learners taking the same assessment sit in a block.



#### **A.4 Personnel involved in delivering assessments**

The main responsibility for conducting the assessment will fall to the invigilator (or lead invigilator, if more than one is present at any assessment). Other centre staff may also be involved at different stages of the assessment process, as follows:

1. Each centre must have a **single named point of accountability or accountable officer** for the conduct of all CABWI assessments and qualifications. This may be the centre co-ordinator (see below) or a member of the management team at the centre. This person must have the authority to make internal policy decisions regarding the delivery of CABWI's qualifications, to be responsible for ensuring that systems are in place for robust qualifications delivery, to ensure that procedures are followed and requirements met in handling cases of identified malpractice and maladministration, and for ensuring that remedial actions are taken as required by the awarding body (e.g. from verification visits). The accountable person may be the main awarding body contact for day-to-day operation of CABWI qualifications, but could, equally, be a manager. They will have the authority to sign centre application forms that are sent to CABWI.
2. Generally, CABWI expects that each centre will have a main point of contact for the administration of its qualifications, who has the role of **centre co-ordinator**. This individual is likely to be the first point of contact for CABWI in dealing with any queries and with the day-to-day qualifications administration, and they will also be authorised to submit registration requests and certification claims. In general, they will be the main authorised contact to whom CABWI sends confidential assessment materials (or related passwords), and will be the first point of contact for the external verifier in arranging any verification. The centre co-ordinator may be the same as the single named point of accountability, one of the assessors or internal verifiers, or may be a dedicated administrator.
3. **Invigilators** will be employed by the centre to ensure that the requirements for conducting CABWI assessments in examination conditions are met. They may be a member of the centre's administration or assessment and verification teams, or employed specifically for the purpose of invigilating assessments. The requirements that they must meet are outlined below.
4. In the context of assessments conducted under examination conditions, the **assessor** will be responsible for assessing and/or marking completed assessments. The requirements for individual assessors will vary between qualifications: for example, a greater level of technical expertise will be required to assess learners who are working on technical, operational subjects (e.g. for knowledge-based qualifications to support apprenticeships), while the requirements will be less subject-specific for assessors marking the work of learners who have undertaken a centrally-set multiple-choice test with a prescribed answer key. The assessor will be responsible for signing off the achievements of individual learners, and will also liaise with the internal verifier to provide feedback to CABWI on the delivery of any scheme. Please consult any qualifications-specific guidance to confirm the requirements for assessors.
5. The centre's **internal verifier** will be responsible for ensuring that the assessment and/or marking of assessments is consistent at the centre, and for reporting to CABWI or to its external verifier the detail of any queries that have arisen at the centre regarding qualifications delivery. As with the assessors, a higher level of technical expertise will be required to internally verify more technical, operational subjects. Centres must check any qualification-specific guidance to confirm the requirements for internal verifiers.

6. For assessments conducted in examination conditions, additional personnel may be required to undertake specific activities, such as confirming learners' identity, checking that administrative requirements are met (e.g. confirming that materials or equipment provided by learners for use in assessments meet any requirements), or may be asked by the accountable person or invigilator to assist in some way (e.g. to accompany a learner who needs to leave the room during an assessment). Centre personnel who are authorised to carry out any activity relating to the assessment must do so in line with awarding body requirements.

### **A.5 Invigilation arrangements**

It is vital for the quality of assessment provision that centres have robust arrangements in place for the invigilation of assessments in examination conditions. The invigilator must understand and be able to meet the awarding body's requirements for carrying out their role.

The role of the invigilator is to ensure that assessments meet CABWI requirements, so that:

- all learners have the chance to demonstrate their abilities
- the assessment, and related question papers and materials, are kept secure before, during and after the assessment
- learner malpractice is prevented
- the administrative requirements for the assessment are met
- robust quality assurance systems are maintained.

Invigilators must:

- ensure that they are familiar with the awarding body's requirements for assessment in examination conditions
- ensure that the assessment is conducted correctly and in line with CABWI requirements
- not undertake any other task (such as marking) during the assessment
- be able to see each learner in the examination room at all times (subject to the assessment, and the shape of the assessment room, the centre may need to ensure that more than one invigilator is available at any session, to meet this requirement)
- inform the centre's single point of accountability (usually the centre co-ordinator or a member of the management team) of any concerns that they have regarding the security of assessments, including question papers, answer papers, reference materials and learner scripts.

The centre should ensure that individuals that they appoint as invigilators have access to all of the relevant instructions and materials required to administer any assessment. Where more than one invigilator is appointed to officiate at any assessment, a lead invigilator should be selected, who is responsible for completing any reports and documentation associated with the assessment session.

Invigilators may be changed during the course of an assessment, but the number of invigilators present in the assessment room at any time must meet CABWI's requirements.

Invigilators may be involved in setting up the assessment room, and confirming that all of the appropriate question papers, assessment documents, reference materials and notices, etc. are in place. The centre must ensure that invigilators have access to the information that allows them to fulfil this role where required, and that they are aware of any procedures specific to particular qualifications or assessment locations. It is important that the invigilator arrives at the assessment venue at least 30 minutes before the start of the assessment. If they are involved in confirming learners' identification or setting up the assessment room, they may need to be in place earlier.

### **Centre requirements for invigilators**

The centre is responsible for:

- ensuring that all invigilators receive appropriate briefing and training to carry out their role

- ensuring that a copy of this handbook is available for invigilators in the assessment room
- ensuring that **appropriate invigilator: learner ratios** are used. In general, at least one invigilator must be present for each group of 30 learners or fewer taking written assessments. (Subject to the nature of the assessment, or the shape of the assessment room, it may be necessary to have more than one invigilator present for 30 learners or fewer. If you are unsure about this requirement, please contact your external verifier, or discuss it with them during the centre approval process.)
- ensuring that the invigilator(s) are able to summon help quickly, without leaving the assessment room or disturbing learners, in the event that they require assistance.
- ensuring that invigilators are suitably experienced for their role
- ensuring that invigilators have no conflicts of interest that may affect their ability to undertake their role (see below)
- ensuring that the invigilator maintains any documentation relating to the assessment session and returns it to the designated person at the centre for secure storage (e.g. records of seating plans; time, date and location of the assessment session; learner attendance – including which papers were undertaken by each learner; confirmation of learners’ identification; reports of any special access arrangements; reports of any incidents that arose during the assessment – e.g. malpractice, late arrivals). Any such documents must be retained for verification purposes, and also to allow time for learner enquiries to take place, should they arise.

### **Conflicts of interest**

The centre must ensure that its invigilators have no conflicts of interest that can affect their ability to carry out their role. Invigilators must be adults, who are not current students at the centre. The following people may not act as **sole** invigilators:

- any relative of a learner present in the room
- anyone who has provided training in the subject being assessed to a learner present in the room.

It is the responsibility of an invigilator to declare any conflicts of interest, so that the centre can make appropriate management arrangements.

### **A.6 Access arrangements and special considerations**

CABWI recognises that some learners who present themselves for assessment may have particular assessment requirements of different types. In general, we would expect that particular assessment requirements and special considerations are addressed through the centre’s access to assessment procedures, and in line with CABWI’s policy in this area.

Examples of the types of requests that may arise include:

- requests for extra time to complete an assessment (e.g., due to literacy difficulties, or to physical injury that affects their ability to write)
- requests for a reader to be provided
- requests for a scribe to be provided
- requests for assistance with language.

***Please note:*** where access arrangements are implemented that can affect the other learners taking an assessment (e.g. use of a scribe or reader, where there would be a requirement for the learner to communicate orally during the assessment), separate invigilation will need to be arranged, to avoid disturbing others who are being assessed. It is the centre’s responsibility to ensure that any separate invigilation arrangements are conducted in line with all awarding body requirements.

It must also be noted that an invigilator cannot act as a reader, scribe, oral interpreter, to any individual learner, as they could not then carry out the invigilation in line with CABWI’s requirements.

Where access arrangements are implemented that require the presence of additional personnel, they must be separately identified and allocated to the assessment session.

If the access arrangements made for learners include the use of separate invigilation, the centre must ensure that all of CABWI's usual requirements for conducting assessments in examination conditions are met. A record must be kept of the reason for using separate invigilation, together with details of the assessment session, location and invigilation.

The invigilator must ensure that appropriate records are kept of any particular access arrangements that are implemented during assessment sessions, including details of the learner, the nature of their requirement, and how (and by whom) it was addressed. If the invigilator or centre staff are unsure about how to apply access arrangements, reasonable adjustments or special cons

Centres should ensure that invigilators and relevant centre staff are provided with sufficient information and training to allow them to implement access arrangements as required, and to record the detail of any arrangements that are put in place.

***Please note:*** Arrangements that are made for learners who arrive late to an assessment event are not covered under fair access / reasonable adjustments / special considerations procedures. Further notes regarding late arrivals into the assessment room can be found at Section B.5 (During the assessment) below.

#### **A.7 Timetabling of assessments**

In most cases, the centre, and not CABWI, will be responsible for setting timetables of assessments. In this case, the centre must ensure that learners are notified of the timing of their assessment in advance, and are made aware of the time at which they must attend the centre to allow assessments to take place at the published timings.

Some learners may take more than one assessment consecutively at the centre, and the centre may decide the order in which they are to be delivered. Learners may be given a supervised break between assessments within a session. This means that a member of centre staff must be in the same room as the learner during the break.

Alternatively, the centre may prefer to run a number of scheduled assessment sessions during the course of the day, with particular learners taking consecutive assessments at consecutive sessions. This is likely to be more appropriate where the individual assessment sessions are of relatively short duration (e.g. Street Works reassessments).

Records of learners' attendance at specific assessment sessions must be kept in line with CABWI's requirements.

For arrangements to be implemented for learners who arrive late to their assessment session, please refer to Section B.5 below.

## **B. DELIVERING ASSESSMENTS IN EXAMINATION CONDITIONS**

This section provides information about how assessments in examination conditions must be conducted, from start to finish, and gives additional guidance about the marking and storage of completed scripts.

### **B.1 Identifying learners**

It is important that the centre confirms the identity of all learners wishing to undertake an assessment in examination conditions. The centre must ensure that invigilators are aware of the arrangements, and their responsibility for, identifying learners for different types of assessments. In most cases, this will be through a straightforward confirmation using photographic identification; or by appropriate centre staff confirming an individual's identity. However, there are some assessments (such as the Street Works Reassessment process) where proof of prior certification may be required in order for the learner to take the assessment.

Any learner who is not known to the assessment centre and its staff must be able to provide evidence to confirm their identity (e.g. photographic identification such as a passport or driving licence).

Centres should also be aware of, and be able to implement, any particular arrangements that may be required to identify learners, e.g. those who wear religious clothing, such as a veil.

The identification of learners may be carried out by the invigilator, or by other authorised centre staff, prior to the assessment taking place.

### **B.2 Staff roles and responsibilities**

The accountable officer may not be available on site throughout every assessment, but has overall responsibility for ensuring that the awarding body's requirements are met and that the integrity of the assessment is maintained.

Invigilators must carry out their role in line with awarding body requirements, and must ensure that they complete any required paperwork where they are responsible for invigilating an assessment session.

Other members of centre staff, who are not appointed invigilators, may assist with the following activities:

- identifying learners
- ensuring that learners take their seats in the assessment room and observe requirements for examination conditions (e.g. ensuring they remain quiet)
- confirming that learners have the correct assessment papers, reference materials and calculators
- accompanying learners who need to leave the assessment room temporarily
- assist the invigilator in resolving a problem that has arisen, which the invigilator is unable to resolve.

The invigilator must keep a record of all centre staff who are present in the assessment room.

Centre personnel **must not**:

- provide advice to learners during an examination
- comment on the question papers or learners' work.

***Please note: The only learners allowed to be in the assessment room are those who are taking the assessment.***

### **B.3 Question papers and other materials**

The invigilator must ensure as far as possible that:

- the correct assessment papers and materials are available for issue to learners.
- only the required official examination stationery, including any additional answer sheets, is provided to learners.
- learners have no access to items other than those that are clearly allowed in the awarding body's materials, handbooks and assessment papers.
- learners have no access to unauthorised items or material (including mobile phones and electronic communications or storage devices) in the assessment room.

The centre may allow learners to have food and drink in the assessment room, but all food must be free from packaging and labels must be removed from drink containers.

The invigilator must make it clear to learners before the assessment begins that, if they are found to have unauthorised items or material in their possession in the assessment room, this will be treated as malpractice, and they could be subject to disqualification from the assessment, or other penalties.

### **B.4 Starting the assessment**

Formal examination conditions will apply from the time the learners enter the assessment room until all scripts have been collected. Learners must not speak to each other during this time, and must not listen to music.

Prior to the assessment, the invigilator must:

- check that the learners are seated according to any set seating arrangements
- check that learners have the correct papers and materials for the assessment
- advise learners that they must follow the assessment requirements, and that they must not communicate in any way with another learner during the assessment
- ask learners to read any instructions on their assessment paper/material carefully
- advise learners of any error notices
- advise learners of the time allowed for the assessment
- advise learners of any fire alarm tests and emergency procedures
- announce clearly when learners may begin to write.

Learners must be advised to:

- write in ink unless the assessment instructions state otherwise
- ensure that they write their name and candidate number (if known) on any paper, answer booklet or rough working sheets used
- complete all work on the stationery provided, unless instructed otherwise
- complete the appropriate sections of any answer booklets or papers, if they are provided for the assessment being carried out
- do any rough work for multiple-choice questions in the question/answer book
- cross through all rough work neatly, but do not make it illegible, because it will be provided to the assessor.

Learners may not use:

- correcting pens, fluid or tape
- erasable pens
- highlighter pens in their answers
- reading pens
- blotting paper.

The invigilator **must not**:

- provide any advice or comment on a learner's work
- provide any comment on the question paper unless an error notice has been issued by the awarding body
- make any comment where a learner states that they believe there is a problem with the question paper. Any such issues must be referred immediately to the centre's accountable officer or other designated staff for resolution with the awarding body.

If the invigilator carries out any of the above, this may be deemed to be malpractice, and the centre will be subject to awarding body sanction and penalties.

### **B.5 During the assessment**

The invigilator must supervise the learners throughout the assessment and follow all CABWI requirements. They must move around the assessment room on a regular basis throughout the assessment, and must be vigilant to any potential problems, such as candidates who may be unwell, or any instances of malpractice. Any problems that occur during the assessment must be recorded, and details noted of the action taken to resolve them.

The invigilator(s) must ensure that all learners can be seen at all times throughout the assessment.

#### **Late arrivals to the assessment**

The centre may allow a learner who arrives after the assessment has started to enter the assessment room and take the assessment. In this case, the learner should be allowed the published time to complete the assessment, and the centre must ensure that the required supervision is in place while any assessment is ongoing. Care should be taken to ensure that the late arrival of a learner does not disrupt other learners taking the assessment.

#### **Very late arrivals**

Learners may be deemed to have arrived very late if they arrive:

- more than one hour after the centre's published starting time for an assessment that lasts for one hour or longer, or
- more than 30 minutes after the centre's published starting time, or after the centre's published finishing time, for an assessment that lasts for less than one hour.

The centre may reserve the right to refuse the learner entry to the examination, and make arrangements to reschedule the assessment session.

In the event that the centre permits the learner to take the assessment, they must:

- ensure that the learner cannot communicate with other learners who have just taken the same assessment
- ensure that the assessment is fully invigilated in line with CABWI's requirements
- require the invigilator to make a report of the very late arrival, including details of:
  - the published starting and finishing times of the assessment
  - the time that the learner started and finished the assessment
  - the reason for the learner's late arrival
  - the arrangements that the centre put in place for the assessment to be taken (including details of the supervision provided)
  - details of whether the security of the assessment may have been breached due to the learner's very late arrival – including when supervision of the learner began and ended, and whether they could have had the opportunity to discuss the assessment with other learners being assessed at the centre.

- keep the completed script in secure storage at the centre, and inform their external verifier of the very late arrival, providing a copy of the report. The external verifier will reserve the right to sample the assessment before making any certification recommendations to CABWI.
- advise the learner that the awarding body may not accept the work, due to their very late arrival.

In considering any application for certification for a learner who arrived very late to the assessment, CABWI and the external verifier will consider the risks that the individual situation are likely to have posed to the security of the assessment process. If other learners were permitted to leave the assessment room before the late arrival began their assessment, CABWI reserves the right to refuse certification, unless it can be shown that the learner was supervised from the point of their arrival at the centre until the conclusion of their assessment.

### **Records of attendance**

The invigilator must maintain a register of learners who attended any assessment. Where learners were intended to be at the assessment but did not arrive, the register must show that they did not attend or have formally withdrawn. Where learners arrive to take an assessment who are not on the centre's original list, their details must be recorded and identity confirmed, and a note of their presence must be made on the attendance register.

Notes of all late or very late arrivals must be kept on the attendance register.

It is important that the invigilator maintains an attendance register, because this will allow them to confirm that all scripts and materials have been collected at the conclusion of the assessment. It will also allow emergency procedures to be followed effectively should the need arise.

### **Leaving the assessment**

In general, for assessments that last for one hour or more, learners must remain in the assessment room and under supervision until one hour after the start of the assessment.

For assessments that last less than one hour, learners must be kept under supervision for either 30 minutes or until the centre's published finishing time for the assessment (if less than 30 minutes in length).

Learners who leave the assessment temporarily **must** be accompanied by a member of centre staff. The centre may allow them additional time equivalent to the period of their absence, at its own discretion.

If a learner chooses to leave an assessment before the finishing time, all of their work and related assessment papers and materials must be collected before they leave, and they may not re-enter the assessment room. Question papers may not be removed from the assessment room.



## **B.6 Finishing the assessment**

At the end of the assessment, the invigilator must:

- instruct learners to stop working (with the exception of any who arrived late and are being allowed the full time to complete their assessment: they will be instructed to stop working at the conclusion of their assessment)
- advise learners to check that they have included their name and, if appropriate, number on their scripts and any additional paper used
- advise learners to check that their answers are numbered, as appropriate, and that any loose sheets are arranged in the order that they answered the questions. If a learner has filled several booklets or sheets of paper, these must be fastened together, using treasury tags if possible.

### **Collecting scripts and materials**

When the assessment has ended, the invigilator must:

- collect all scripts, booklets, question papers and assessment materials from learners before they are permitted to leave the assessment room
- check that there are scripts or answer sheets for each learner listed on the attendance register
- order the learners' scripts/answer sheets/paperwork so that they follow the listing on the attendance register.
- check that learners names and numbers are correct
- complete any sign-off paperwork confirming that they invigilated the assessment session, and identifying whether additional reports are provided relating, e.g. to very late arrivals or other incidents
- ensure that the completed paperwork is stored securely for marking.

The centre must ensure that learners do not remove **any** material from the assessment room, including question papers.

## **B.7 Marking and storage of completed scripts**

Unless CABWI's qualification guidance states otherwise, the marking of assessments completed under examination conditions will take place at the centre, and will be undertaken by assessors or markers who meet the requirements for each qualification. These will vary between qualifications and the centre must refer to any qualification-specific guidance for details of the required assessor and verifier expertise.

Any assessor/marker and any internal verifier associated with the qualification will need to be approved by CABWI, and they will be responsible for marking the assessments, according to any published awarding body answer keys, model answers or other information. The centre must retain details of each learner's results, including confirmation of whether they have passed, and, if applicable, confirmation of any grades achieved. This information will be required by CABWI for certification purposes in due course.

The centre will need to retain completed scripts and paperwork securely so that external verification can be carried out. The requirements for retaining scripts and paperwork may vary between qualifications, and centres should follow any advice issued by CABWI for retaining assessment paperwork that is used for specific qualifications.

***Please note:*** Assessments that take place in examination conditions will normally have centrally-set question papers, including different versions per unit, that are used over a period of time. ***As it is a key quality assurance requirement of any qualifications that details of practical assessments, question papers and answer keys or model answers remain confidential at all times, this material must under***

***no circumstances be made public or provided by the centre to any third party, including learners, other than in examination conditions.***

If the centre, or any centre staff member, is aware that confidential assessment material has been made publicly available, they **must** inform CABWI immediately so that appropriate action can be taken.

### **B.8 Malpractice**

In the event that learner malpractice is discovered during an assessment, the invigilator must advise the learner that they may be removed from the assessment room, that CABWI will be informed, and that they may be disqualified from the assessment.

The invigilator must record details of any actual or suspected malpractice and should remove and retain any unauthorised materials that learners have in their possession in an assessment. The centre should consider its procedures for dealing with malpractice during assessments, and identify whether additional staff need to be available to assist with any such situation, so that the invigilator can continue with their role.

Where an invigilator is suspected of malpractice, or where actual malpractice is identified, the accountable officer or centre co-ordinator **must** record the details of the malpractice and report them to CABWI and to their external verifier. Any assessment papers or other material relevant to the incident must be retained and made available on request to the centre's external verifier, to CABWI or to the regulatory authorities.

If malpractice is identified on the part of invigilator or other member of centre staff, the situation will be subject to awarding body investigation, and may be subject to sanctions if malpractice is confirmed. This may also affect certifications issued to learners at the centre until such time as the situation is resolved.

### **B.9 Emergencies**

If an emergency occurs during an assessment, that requires the assessment room to be evacuated (e.g. a fire alarm), the invigilator must:

- instruct the learners to stop writing
- advise learners that all question papers, assessment materials and scripts must be left in the assessment room
- collect the attendance register and follow appropriate evacuation procedures
- instruct learners to leave the room in silence
- ensure that learners are supervised throughout their absence from the assessment room, to minimise the risk of them conferring about the assessment
- make a note of the time and duration of the interruption
- ensure that, once the assessment is resumed, learners are permitted the full amount of time allowed for the assessment.
- record the details of the disruption and ensure that the external verifier and awarding body are provided with the report prior to any certificates being claimed for the learners affected.

### **B.10 Internal verification**

Unless otherwise stated, assessments conducted under examination conditions will be subject to internal verification. The requirements for internal verifiers will vary between qualifications, although anyone seeking this role will need an appropriate internal verifier qualification. As a minimum, it will be the responsibility of the internal verifier to ensure that assessment practice and marking are being

carried out consistently and in line with CABWI requirements. They will also have a role to play in collating feedback and queries from their team and liaising as necessary with the external verifier and the awarding body, to contribute to continuous improvement of the qualifications.

As part of their role, it is expected that internal verifiers will see assessments taking place for any qualification in which they are involved, and that they will sample completed learner paperwork.

### **B.11 External verification**

Assessments conducted under examination conditions will also be subject to external verification, and the centre's external verifier will be involved in:

- approving the locations and facilities used for assessment and confirming that they continue to meet CABWI requirements over time
- observing assessments taking place under examination conditions, including invigilation arrangements
- sampling learners' assessment paperwork and any documents used by the centre in its processes and audit trails
- providing support to the assessment and verification team and providing advice on assessment matters associated with CABWI qualifications. This includes answering queries on the content of assessments where appropriate, and liaising with or referring queries to the awarding body, in consultation, as appropriate, with other external verifiers.

The external verifier will seek to monitor centre activity on all types of CABWI assessments over time, and will confirm that certification can proceed for newly-approved centres, and that direct claims status is granted when a centre has a good track record, so that certificates may be claimed without claims being referred to the external verifier. Direct claims status will be granted when the EV is satisfied that the centre's systems, processes and documentation are sufficiently robust to confirm the quality of the assessment process, and it may be granted for specific units or qualifications, or for the whole of a centre's provision. Direct claims status may be withdrawn in the event that a centre's circumstances change (e.g. there are major changes to the assessment team or key personnel leave and are not replaced) or if persistent or serious problems are identified that put the integrity of assessment at risk.

### **Note**

CABWI aims to ensure that the information that it provides is current, and that it meets the needs of assessment and verification teams and centres. If you or your assessment team should have any queries, comments or suggestions relating to the content and structure of this handbook, please do not hesitate to contact your centre's external verifier or the CABWI office.