

Regulations for Conduct of External Assessments

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These Regulations **must** be used for all on demand and timetabled written and online external assessments, **set and marked by NCFE** as detailed in the Qualification Specific Instructions for Delivery document (QSID) available at www.ncfe.org.uk and www.cache.org.uk

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Section 1

Overview of Policy

This document provides guidance and instructions on the correct administration of the external assessment components (online and paper based) of all NCFE qualifications including those which may be offered and/or delivered under an NCFE-owned brand name (such as "CACHE").

The Regulations do not in any way affect the responsibility of the Centre for health, safety and safe working under current legislation and local government by-laws, therefore ensuring the integrity and security of the assessment is maintained at all times. Failure to comply with these Regulations will be addressed via our Maladministration and Malpractice policy.

For Functional Skills controlled assessments, please refer to:

- NCFE's Regulations for the Conduct of Controlled Assessment – Functional Skills which are available on NCFE's website ncfe.org.uk

Please note: CACHE Extended External Assessments for the Level 3 Early Years Educator and Health and Social Care qualifications do not have to be completed under supervised or invigilated conditions.

You **must** refer to the Qualification Specification and Members area of the CACHE website for specific requirement documentation for completing Extended Assessments, including the appropriate Tutor and Learner Information and Requirements Document. The completed assessment materials must be kept secure and returned to NCFE in line with the relevant sections of this policy. **Learners must respond independently to the Extended Assessment and no guidance given by Tutors on the content of the assessment.**

1.1. Responsible/Designated Person

- Responsible Person - The Head of Centre is responsible to NCFE for making sure all external assessments are conducted in line with these Regulations.
- Designated Person - The Head of Centre must delegate a member of staff to be the designated person to carry out the administration of the assessments in line with these Regulations.

1.2 What is an external assessment?

External assessments are set and marked by NCFE and must be completed:

- independently from the teaching and learning of the Qualification Specification
- at the stated site on the entry paperwork within the specified time allocation (no tasks/questions should be set as homework)
- independently by the learner
 - templates/worksheets or other scaffolding material must not be provided by the Centre.

Centres must not:

- lead on any tasks
- assess or internally quality assure the learner's external assessment at any point
- provide any feedback or guidance to the learner about their performance in the external assessment
- photocopy, alter or format the external assessment materials in any way.

For the purpose of this document when we refer to the assessment it will be in line with the type of assessment as detailed in the Qualification Specification and the Qualification Specific Instructions for Delivery document (QSID) or Tutor and Learner Information and Requirements document.

The external assessment type may consist solely of, or be a combination of:

- **On demand** (invigilated). The Centre schedules the assessment date and time when entering the learners
- **Set date and time** (invigilated). NCFE specifies the exact date and time that the external assessment must be administered in the centre
- **Assessment Window** (supervised). The Centre arranges supervised periods of external assessment within a set window
- **Assessment Window** (invigilated). The Centre arranges invigilated periods of external assessment within a set window
- **Controlled Assessment** - CACHE Technical qualifications. These follow the same principles as Assessment Window (supervised).
- **Independent Self Study (Extended Assessments)**. Completed independently by learners and submitted to NCFE for marking at set times during the year.

NCFE offers most external assessments either paper based and/or online. Depending on the qualification, our online assessment system allows you to enter your learners to complete external assessments on demand without any requirement to tell NCFE in advance. Centres should refer to our Online Assessment User Guides and Technical Specifications for details on delivering online assessments.

1.3 Who should read these Regulations?

To ensure the Regulations are correctly applied, they should be read and referred to by:

- The Head of Centre, Chief Officer of an institution or Chief Executive of a company (Responsible Person - see [Section 1.1](#))
- Members of the Senior Leadership team
- The Examinations Officer or Quality Assurance Co-ordinator appointed by the Head of Centre (Designated Person – see [Section 1.1](#))
- Curriculum Manager/Course Tutor responsible for learners undertaking the assessments
- Tutor/Teachers/Assessors delivering NCFE qualifications
- Invigilators for all NCFE assessments.

Section 2

Quality Assurance

2.1 Observation of external assessments

NCFE reserves the right to observe the external assessment process without prior notification, to confirm that these Regulations are being adhered to.

- On arrival at the Centre, the NCFE representative will introduce themselves and explain the reason for the visit.
- The NCFE representative should be accompanied by a senior member of staff or a member of the exams office throughout the duration of the visit.
- Storage facilities for the external assessment materials will be reviewed, along with the location of the assessment.
- The NCFE representative may request to speak to any individual involved in the external assessment delivery at the Centre.
- The NCFE representative will discuss the findings of the observation with the Responsible Person and/or the Designated Person at the end of the visit.
- A completed External Assessment Monitoring Visit Report will be made available to the centre following the visit.

If an NCFE representative observes any malpractice or non-compliance with these Regulations, they have the right to declare the external assessment void. In such cases, the NCFE representative will report the incident to our Quality Assurance team who will deal with the incident in accordance with our Maladministration and Malpractice policy.

2.2 External assessment malpractice/maladministration

If at any time during the external assessment there is a violation of these Regulations, the Supervisor/Invigilator has the right to void the external assessment immediately. If they do so they must also inform NCFE immediately with a report of what occurred – please see our Notification of Malpractice form available on our websites ncfe.org.uk and cache.org.uk.

If any of these Regulations are breached by a learner, Supervisor, Invigilator or other person(s) involved in the conduct of the external assessment, then NCFE may declare the external assessment void.

In the event of a suspected or actual breach of these Regulations by learners:

- the work completed by the learner(s) concerned and any unauthorised materials (if applicable) must be confiscated from the learner and given to the Designated Person to return to NCFE
- all learners suspected of breaching these Regulations should be instructed to leave the room immediately if appropriate to do so, causing the least amount of disruption to other learners

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- at the end of the external assessment the Invigilator must report all relevant facts on the External Assessment Documentation
 - the Supervisor/Invigilator should also indicate on the learner answer sheet/booklet that they were removed from the external assessment
 - the Supervisor/Invigilator should report the incident to the Responsible Person as soon as possible
 - NCFE should be informed immediately of any irregularity
 - the Centre should conduct its own investigation into the incident and report the incident and their findings to our Quality Assurance team using the NCFE Notification of Malpractice document on our website.

NCFE reserve the right to investigate each case of alleged or actual malpractice/ maladministration committed by a learner, Supervisors, Invigilators or other person(s) involved in the conduct of the external assessment in order to establish all of the facts and circumstances surrounding the case. The investigation will be carried out in accordance with NCFE's Maladministration and Malpractice Policy.

2.3 Ownership of external assessment material

All external assessment material remains the property of NCFE. This includes all answer sheets/booklets and digital evidence. Assessment materials are not returned to Centres.

Where applicable, if an external assessment is marked in the Centre by NCFE Examiners, the Centre must retain all the evidence for 3 months after results have been released.

NCFE will dispose of all external assessment materials in a confidential manner.

Section 3

Preparing for the External Assessment

3.1 Requesting external assessments

Entries must be made in line with the qualification requirements for the type of assessment via the Portal. Assessment dates/windows set by NCFE will be published on the relevant qualification website. All learners must be entered by the appropriate deadlines. Entries requested after the closing date are subject to additional charges as advertised in our Fees and Pricing Document on our website.

When requesting external assessments for despatch by NCFE, Centres must state:

- the full address of the proposed site
- the date and time (if on demand and determined by the centre).

If the date, time or site of the external assessment changes, you'll need to notify NCFE of this (see [Section 3.6](#)).

For on demand assessments, NCFE allows learners who have not previously been registered and/or entered for the assessment (pirate learner) to complete the assessment and spare papers are provided. For CACHE external assessments, 2 spare papers are provided for late entry learners. An administration fee will apply for each learner. Please refer to the Fees and Pricing Document on our website.

3.2 Authorised paper release

For those assessments for which pirate learners are not permitted, NCFE may authorise an assessment to be released to the Designated Person within the Centre. Instructions will be issued at the time of release and must be followed to ensure there is no breach to the integrity of the assessment. An administration fee will apply to any authorised cases.

- If a Centre identifies that a learner has not been entered for the assessment, the Designated Person should contact the Customer Support Team immediately. A decision will be made regarding authorised paper release to allow the learner(s) access to the paper.
- Photocopying of NCFE external assessment materials is strictly forbidden.
- External assessments should not be altered or formatted in any way by the Centre.

3.3 Reasonable Adjustments

NCFE seeks to provide equal access to assessment for all learners registered for its qualifications. NCFE recognises that reasonable adjustments may be required for external assessments, and information is available in our Reasonable Adjustments and Special Considerations Policy and Guidance on our website. This will also explain how to submit an application and the associated timescales prior to the assessment taking place.

3.4 Status in Wales and Northern Ireland

NCFE qualifications have been regulated for use in either England, Wales and/or Northern Ireland. Currently NCFE provides qualifications to Centres in England and Qualification Specifications and assessment materials are in English. These materials can also be made available in Wales and Northern Ireland. NCFE is able to provide Qualification Specifications and assessment materials in Welsh and/or Irish where requested and appropriate. Please note: CACHE has Welsh Bilingual Examiners and so requests do not have to be submitted for those external assessments.

If a Centre requests an external assessment in Welsh or Irish (Gaelic), NCFE will ensure that the external assessment:

- will be translated into Welsh or Irish (Gaelic) by a professional translation agency, which can currently take up to 4 months.
- produced by the learner is marked by a bilingual examiner or translated into English by a professional translation agency for marking purposes. If any issue is identified the translator will report the incident to our Quality Assurance team who will carry out an investigation.

3.5 Planning the external assessment

The Head of Centre is responsible for ensuring that the full amount of time specified for an external assessment is planned.

- Where an Assessment Window is stipulated, this will not be extended and so provision must allow for school holidays if applicable.
 - Centres must keep a record of timetables which may be requested by NCFE at any time; therefore, sessions must be planned prior to the start of the assessment window. A Timetable template is available on our website.
- The permitted time must not be increased, unless a reasonable adjustment has been agreed for a learner (see [Section 3.3](#)). This adjustment must be recorded on the external assessment documentation.
 - Drying, firing or setting time (if applicable) is not part of the time allocated for external assessments and learners must be given the opportunity for this prior to the presentation of the final piece of work in context. Tutor/Teachers/Invigilators must ensure that work remains secure during this process and that any help with firing, for example, does not advantage or disadvantage the learner in any way.
 - Time to label work after the assessment may be provided (see [Section 5.2](#)).
- The permitted time must not be decreased. Learners must be given the opportunity to complete the full amount of time for the external assessment.
- Where applicable, an Examiner visit will be planned as soon as the Assessment Window starts (eg for NCFE Level 2 Certificate in Creative Studies: Art and Design 600/6905/3 – please refer to the QSID for further details). The Examiner will contact the Centre directly to arrange this.

3.6 Assessment Variations

3.6.1 Starting times for external assessments

For assessments with published starting times, centres are enabled to start assessments by up to 30 minutes earlier than, or later than, the published starting time without the requirement to submit an assessment variation request for approval. If the amendment to time is greater than 30 minutes prior approval must be agreed.

Centres may request a variation which will be reviewed on a case-by-case basis. The Centre must complete the request **no later than 20 working days** prior to the external assessment (set date/time) or the start of the Assessment window. The Centre will be informed of the outcome of the request by the Quality Assurance Team. NCFE reserves the right to reject any requests submitted outside of this timescale.

3.6.2 Alternative dates/times

Alternative dates/times **will not** be considered for the following:

- work experience
- school function or closure
- field trip
- sporting events below international level
- holidays and weddings
- a learner's personal arrangements.

3.6.3 Large cohorts

If the Centre has a large cohort and requires the learners to complete the assessment at different times, the Centre must ensure that the first cohort completes at the published time and the remaining cohorts immediately after, ensuring that the learners are supervised as per requirements in [section 3.6.4](#)

3.6.4 Supervision of learners if external assessment time variation is agreed

Timing	Supervision	Assessment paper
Learner takes external assessment earlier than published time	Learner to be supervised* until 1 hour after published starting time (or for the full length of time of the external assessment if less than 1 hour)	Learner's assessment paper must be removed from the NCFE sealed package and the remaining assessment papers sealed until the published time
Learner takes external assessment later than published time	Learner to be supervised* from published time until they begin the external assessment	At the published time, the external assessment question papers for the majority of the cohort sitting the external assessment will be distributed. The learner's assessment paper must be sealed and placed in secure storage until the agreed later time

*Centre must arrange supervision. Contact **must not** be made with any other learners.

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- **Overnight Supervision** If, following the receipt of an assessment variation request, agreement is given to allow the learner(s) to sit the external assessment on an alternative day, then JCQ arrangements apply to this situation and the Centre must arrange suitable supervision of the learner(s).

3.6.5 Alternative sites

When requesting permission to deliver the external assessment at an alternative site to that stipulated when entering the learners, the Centre must include the following information on the Assessment Variation request:

- full address of the site including building name/number if applicable
- an explanation of how the papers will be delivered to and collected from the alternative site securely
- invigilation details to ensure the Regulations can be adhered to and the integrity of the assessment can be maintained at all times.

3.6.6 Late Submissions

In exceptional circumstances and if appropriate to the qualification, NCFE will approve late submissions. As soon as the centre are aware of a requirement they must advise NCFE. This must happen within the assessment window; requests after the submission deadline has passed will automatically be rejected.

3.7 Cancelling/transferring the external assessment

If Centres decide to cancel the external assessment for the chosen assessment date/window, or transfer to a different assessment date/window, they must contact the Customer Support Team immediately.

- If external assessment paperwork has already been received at the Centre, this must be returned unopened by special delivery/secure courier, within 24 hours of the decision. An administration fee may be charged.

3.8 External assessment materials

Entries must be made in line with our guidance on the website (see [Section 3.1](#)).

- External assessment documentation/material will be dispatched for every learner entered via the Portal to the Designated Person before the beginning of the assessment.
 - **Please note** - External assessment materials for the Level 3 Early Years Educator and Level 3 Health and Social Care independent self-study extended assessments are available on the Portal for Centres to print and give to learners.

3.9 Storing External assessment materials

The Designated Person will be responsible for:

- the security and integrity of the external assessment materials (eg. used/unused papers, partially or fully completed learner work and the external assessment documentation) at all times
- ensuring that external assessment material is logged on receipt (preferably at Reception)
- checking the learners on the external assessment documentation and discussing any amendments/additions/withdrawals with the Customer Support Team immediately
- informing the Customer Support Team of any damage to external assessment materials upon receipt
- storing the assessment material in a secure (locked) cabinet in a secure location. Access to this storage must be restricted to authorised personnel only
- ensuring that any unauthorised Centre personnel do not have access to the external assessment paper or completed learner work unless they are acting as an authorised reader/scribe for learners who have agreed Reasonable Adjustments (please see [Section 3.3](#)).

External assessment material must remain sealed, stored securely and must not be opened before:

- the set date/time of the external assessment, **or**
- the start of the Centre scheduled supervised or invigilated sessions.

Centres are responsible for ensuring the confidentiality of learner responses and details at all times.

Centres must ensure, for all window assessments with multiple timetabled assessment sessions, whether invigilated or supervised, that assessments are stored securely both before and after each session. **Only authorised persons are to be allowed access to the exams secure storage facility.**

Every care is taken to ensure that all external assessment materials are correctly issued and safely received. NCFE is not responsible for any loss that occurs after receipt at the Centre. NCFE reserves the right to investigate any irregular circumstances regarding the security of external assessment materials.

See information in [Section 5.5](#) for returning external assessments.

3.9 Recruitment and management of staff involved in assessments (Supervisors/Invigilators/Tutor/Teachers)

The Head of Centre is responsible for the recruitment and training of external assessment staff and ensuring that they are equipped to carry out their duties appropriately. External assessment staff must be:

- appointed by the Centre and act on behalf of the Centre
- suitably trained and familiar with the content of these NCFE Regulations. Details of this training must be retained on file for NCFE reference as required
- provided with all resources and documents necessary for the conduct of the external assessment. Resources are identified in the QSID

- aware of reasonable adjustments authorised for any learners. Support for these learners is allowed in line with NCFE’s Reasonable Adjustment and Special Consideration Policy
 - where readers/scribes are provided for learners with reasonable adjustments requirements, an Invigilator must also be present. Readers/scribes are **not allowed** to act as Invigilators. Please refer to NCFE’s Reasonable Adjustments and Special Consideration Policy for further information. There is also further information provided in [Section 4.8](#)

No person may be appointed to act as **sole** Invigilator for an external assessment involving learners they have taught, assessed or internally quality assured. They can act as an additional Invigilator only.

Please note: For Assessment Windows (supervised sessions) we recommend that these sessions are supervised by an independent person where possible. If this is not possible then the Tutor/Teacher may act as a Supervisor and must ensure they make their responsibilities as a Supervisor clear to learners.

3.9.1 Required number of Invigilators

The minimum number of Invigilators required in each room used for the external assessment of learners is as follows:

Single date and time/on demand external assessments (eg. Food and Cookery, Health and Fitness, Functional Skills)	Assessment windows with Centre-arranged invigilated timed sessions (eg Art, Graphic, Craft)
1 invigilator for 30 learners or fewer	1 invigilator for 20 learners or fewer

Where only one Invigilator is present, they must be able to summon assistance in case of emergencies without the need to leave learners unattended, eg if a learner becomes ill. The number of Invigilators must never fall below the minimum numbers specified

- Supervised sessions - the Designated Person must ensure that any teaching staff involved in supervised sessions are aware of the specific requirements. (See [Section 4.7](#))

3.10 Preparing the learners

Learners must be fully prepared for the external assessment.

- The relevant content of the Qualification Specification must be delivered prior to the external assessment.
- Revision sessions must not be held prior to the external assessment commencing in the designated assessment room. The use of unauthorised materials such as subject-specific presentations or material within the examination room will be considered as malpractice.
- Centres must inform learners of:
 - the date, time and location of the external assessment. A full list of dates must be provided if the assessment is delivered over multiple sessions (supervised and invigilated assessment window)
 - their NCFE learner number
 - the conditions under which their external assessment will be conducted
 - the fact that they cannot take any materials or pre-prepared evidence (eg notes, class work relating to the qualification) into the external assessment unless specifically stated in the Qualification Specification or the QSID (eg where an invigilated external assessment allows for work completed in supervised sessions to be used)
 - the resources they are required to bring to the external assessment and what will be supplied by the Centre.

Learners must be able to work with the equipment and materials with which they are accustomed as far as permitted by these Regulations.

3.11 Accommodation

To ensure the assessment is administered correctly, the Designated Person is responsible for ensuring the allocated room is:

- suitable in terms of specialist facilities/resources (including computers and printers if applicable), where relevant
- stocked with appropriate stationery and any specified items required by learners
- suitably quiet, undisturbed, with adequate space, heating, lighting and ventilation
- clearly displaying the following information:
 - start and finish times for the external assessment
 - Centre name and number
- set up correctly:
 - free from any display/teaching and learning material (such as diagrams, wall charts etc) on show which may provide learners with an advantage in the external assessment
 - sign placed outside the room to indicate an external assessment is in progress
 - ensure that all learners are able to clearly see a clock
 - allow for learners to be free from disruption if more than one external assessment is being held in the same room
 - in practical assessments, the normal teaching space may be used; however, the Invigilator must ensure that learners focus on their own work
 - if learners are working at drawing boards, easels or computer workstations, learners should be arranged in an inward-facing pattern (or similar) and each learner should be seated at a separate desk, table or workstation

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- in non-practical external assessments, learners must be facing the same direction. Where this is not possible and an alternative room is not available, learners must not be in a position to overlook another learner's work.

3.12 Use of computers, internet/intranet and electronic devices

3.12.1 Use of computers/electronic devices

Centres should confirm if the use of computers/any electronic device(s) are allowed for the external assessment. This information is available in the Qualification Specification and the QSID. If applicable the Designated Person needs to:

- provide suitably trained Technical Assistants who are readily available in case of equipment malfunction only and have no other involvement with the assessment
- ensure any device used to complete the assessment is provided by the Centre
 - the device(s) must be free from any material/additional facilities that would give the learner an unfair advantage, eg preloaded templates, retrievable information etc. For exemptions please refer to the QSID
 - devices must not be borrowed from another learner during the assessment.

3.12.2 Use of internet/intranet

Internet - access may be allowed as part of the external assessment for some qualifications. Centres must check the QSID for arrangements for the qualification they are delivering.

Where use of the internet is permitted, the following must be adhered to:

- any information used from the internet must be appropriately acknowledged by the learner in their work
- any links must be available to access externally by the NCFE Examiner. An outcome of Not Yet Achieved may be given if the Examiner is not able to access webpages.
- the evidence must be the learner's own work
- external assessment material must not be uploaded onto any social networking sites/put into the public domain.

If internet access is not permitted during the external assessment, Centres must ensure that it is disabled to avoid learners accessing it.

Intranet - Centres should refer to specific qualification information in the QSID to determine if the Centre intranet can be accessed during the external assessment. If intranet access is allowed, the learners should not be able to access any teaching and learning material unless specifically stated in the Qualification Specification or the QSID.

3.13 Online assessment

NCFE has an online assessment system to allow learners for those qualifications that are available online to complete their external assessments electronically. These assessments must still adhere to all sections of these Regulations. In addition to the guidance in [Section 3.12.1](#) the centre needs to:

- provide appropriate security systems to prevent unauthorised access to the online assessment system
- confirm they meet the technical specification for the NCFE online assessment system.

The seating arrangements for learners should follow the regulations as set out in [Section 4.3](#) and [Appendix B](#). However, where screens are used to separate work stations it is permissible for learners to be less than 1.25 metres apart. Learners are allowed to be inward-facing as long as they have no view of another learner's screen.

Number of Invigilators

The minimum number of Invigilators in each room used for online assessment is defined in [Section 3.9.1](#)

Instructions for Invigilators

In addition to the standard instructions the Invigilator needs to:

- distribute learner external assessment key codes (log on details) to relevant learners.

If a 'hot desk' method is used – ie a learner can enter the external assessment room at any time and complete the external assessment with the system timing the assessment rather than that Invigilator – the instructions for taking the online assessment must be delivered prior to the learner entering the external assessment room. Once in the external assessment room, learners must not disturb other learners sitting the external assessment. Learners must still be able to see a clock.

Centres should refer to our Online Assessment User Guides if they have any queries regarding online assessment administration.

Section 4

Administering the External Assessment

4.1 Requirements to administer the external assessment

The following requirements apply to administering NCFE external assessments:

- when the external assessments are opened at the allocated time/date, the Customer Support Team must be informed **if**:
 - any materials have been damaged in transit
 - there are any discrepancies or missing papers identified
 - any breach of security has occurred
- no stimulus materials used by the Centre or work completed during the teaching of the unit can be used in the external assessment unless specifically stated in the Qualification Specification and QSID
- external assessment materials must not be altered in any way by the Centre
- essential resources must be supplied
- learners must be in the external assessment room at least 10 minutes before the start of the external assessment to allow time for the Invigilator/Supervisor to read out the generic instructions ([Appendix C](#) or [Appendix D](#) as appropriate)
- all personal belongings must be securely stored outside the room or out of reach of the learners at the front of the room
- instructions ([Appendix C](#) or [Appendix D](#) as appropriate) must be read out to the learners prior to the external assessment
- **Invigilators/Supervisors must:**
 - remain alert and observe learners at all times. They must not read or carry out any other activity unless stated within Regulations
 - ensure accurate timekeeping for the length of the assessment
 - report immediately any issues which may occur during the assessment to the Designated Person and complete details on the external assessment documentation
 - complete all required external assessment documentation
- **Invigilators/Supervisors must not:**
 - leave the external assessment room without another Invigilator/Supervisor being present
 - read any words from the external assessment paper other than the instructions for learners
 - rephrase or explain any terms to a learner
 - make any comment where a learner believes that there is an error or omission on a paper. Invigilators must refer the matter immediately to the Designated Person
 - comment or offer advice to the learner about their work
- technical preparation:
 - may need to be completed before the start of the assessment eg preparation of recording equipment, costumes, props, sets, make up, audio files etc
 - cameras/microphones must be set up in a suitable place to ensure quality of recording. Examiners must be able to hear and see both the learner(s) and audience.

4.2 Transportation of external assessments

External assessment materials must be collected from their secure storage at the start of each external assessment session (supervised/invigilated sessions for assessment windows, invigilated session for set date and time) by an authorised person eg:

- the Supervisor for supervised assessments, **or**
- the Invigilator for invigilated assessments.

This may be an alternative site if an assessment variation has been agreed.

4.2.1 Splitting the assessment pack

Assessment papers should be kept in their sealed packs until they arrive in the assessment location. If you are using a number of rooms you may open the pack in order to make them into appropriately sized sets following the guidance below.

- You should open as few packages as possible and within 60 minutes of the published starting time. Prior approval is not needed for this situation.
- If a split package is required this must be done within the secure storage facility and **not** the external assessment room.
- The external assessment materials must be re-sealed for transportation to the assessment room. An invigilator must be present in the room at all times and no external assessment materials should be left unattended.

Please Note: For qualifications operating a flexible entry policy please ensure all assessment materials are kept secure, managing the split of packaging as above. Only external assessment papers required for each sitting must be taken to the external assessment location. All other external assessment papers not required must be re-sealed and stored securely between assessment opportunities. **Please only return** external assessment materials once **all** learners have sat.

4.3 Identification of learners

It is essential that learners are identified prior to the assessment.

- It is acceptable for an Invigilator/Supervisor to validate a learner who is known to them.
 - If this is not possible then the learner must provide photographic identification to enable the Invigilator/Supervisor to verify their identity.
- If identification is not possible due to religious garments being worn, eg a veil, then the learner should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. When identification has been established the garment can be replaced and the learner can proceed as normal to complete the assessment.
- The learner **must use** the name that they have been registered with when completing their external assessment. Failure to do so may cause delays to the results release. If any amendments are required then the Centre should contact the Customer Support Team as soon as possible.
 - If a learner sits an external assessment using another name (whether this is intentional or not), this will be investigated in line with NCFE's Maladministration and Malpractice Policy

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- A seating plan must be prepared showing the exact position of each learner. This information must be made available to NCFE on request. Any changes to this plan must be noted by the Invigilator/Supervisor. (Additional guidance on seating plans can be found in Section 5 of the JCQ ICE 17/18 document).

4.5 Late arrivals

At the Invigilator/Supervisor's discretion, learners may be allowed to enter the room late whilst the assessment is in progress. The Centre should have a policy in place for late arrivals. The full assessment period should be provided, depending on the Centre's organisational arrangements and providing that adequate supervision arrangements are in place.

Where a learner has been allowed into the room after the start time, the external assessment materials and learner's work should be submitted in line with the Regulations, and the full circumstances of the late arrival should be recorded on the External Assessment Documentation.

Any late learners must be advised of the relevant sections of [Appendix C](#) or [Appendix D](#) (as applicable) before entering the room. An alternative member of staff or additional Invigilator can carry this out. Learners within the external assessment room must not be left unsupervised.

4.4.1 Very late arrivals

If the learner arrives after the external assessment has finished and appropriate arrangements can be made for the learner to sit the assessment, the completed learner assessment should be returned to NCFE in the normal way. You must provide the following information:

- the time the learner started the assessment
- the time the learner finished the assessment
- the actual starting and finishing times of the assessment as published
- the reason the learner arrived late and details of any provisions put in place to accommodate the learner.

The learner must be made aware that NCFE may not accept their script.

4.5 Leaving the assessment

If learners request to leave an assessment, the following applies:

- external assessment lasting 2 hours or more – learners will not be permitted to leave the room during the first hour of the assessment
- external assessment lasting less than 2 hours – learners will not be permitted to leave the room before half the assessment time has passed.

For online assessments using a hot desk method, learners can leave the assessment at the discretion of the Invigilator when they have finished.

4.6 Emergencies during external assessments

If an emergency occurs during the external assessment, eg fire alarm, bomb warning etc, the Invigilator/Supervisor must ensure:

- the external assessment room is evacuated in accordance with the Centre's agreed emergency procedures
- learners leave the external assessment materials in the room
- learners are kept apart and unable to converse with each other
- learners are unable to consult books, notes, mobile phones or the internet.

If the above have been adhered to then the external assessment can be resumed when it is safe to do so and the full remainder of allocated time applied.

If the Invigilator/Supervisor believes at any time that there has been a breach of the external assessment security then they must void the external assessment immediately and notify NCFE with full details.

Details of any emergencies/disturbances during the external assessment must be entered on the External Assessment Documentation and NCFE notified immediately.

Online assessment

- If an emergency occurs or an assessment has to be abandoned, the Invigilator has the option to pause the assessment in the invigilation screen if it is safe to do so.
- Learners must leave computers switched on at their desks in the room and the room must be evacuated in accordance with the Centre's agreed emergency procedures.
- If the assessment can be resumed the Invigilator should follow the instructions for completing the assessment.
- If the assessment cannot be resumed then the Invigilator must record all details and notify NCFE as soon as possible to avoid disadvantaging learners.

4.7 What conditions should the external assessment be delivered under?

Centres must check in the Qualification Specification and QSID for the specific qualification arrangements. The relevant section within these Regulations must be followed accordingly.

4.7.1 Supervised sessions

Supervisors must read out [Appendix C](#) at the beginning of every supervised session.

Prior to the first supervised external assessment session, the Supervisor should:

- ensure the learners have a list of all dates and times for the supervised and invigilated sessions
- distribute papers to learners in sufficient time for the specified period of the supervised assessment (see individual Qualification Specification and the QSID for details)
- ensure that learners read the instructions in their external assessment paper.

For all sessions, Supervisors must:

- ensure that there are no distractions during the external assessment
- supervise the external assessment to ensure compliance with these Regulations
- ensure that the external assessment evidence is only completed during the assessment sessions.

During the supervised sessions:

- Sessions must take place within the centre and can be completed in the normal classroom environment
- Supervisors can discuss the following with the learners:
 - the conditions in which the external assessment must be undertaken
 - use of the tick list provided at the back of the learner's external assessment paper (if applicable)
 - acceptable file types that can be used (if appropriate) - see QSID. Learners should be instructed on where to save their electronic work and be able to access the secure storage medium
- Supervisors must prevent copying from or colluding with another learner. If any incident occurs, it must be reported to NCFE immediately in accordance with NCFE's Maladministration and Malpractice Policy which is available on NCFE's website ncfe.org.uk

Following the supervised session, Supervisors must

- complete the External Assessment Documentation
- securely package all external assessment material before taking them from the location between assessment sessions. This includes any electronic storage devices.

Supervisors **must not**:

- give any feedback about a learner's individual work. Learners must independently decide how to approach the brief and associated tasks
- assess, grade or internally quality assure the learners' work
- lead on any of the tasks
- direct learners
- provide templates or writing frames for learners to complete
- take copies of learner work
- label or reference completed work on behalf of the learner see [Section 5.2](#)

4.7.2 Invigilation

Invigilators must read out the generic instructions in [Appendix D](#).

If a learner needs to leave the external assessment room temporarily because they're unwell or need to go to the toilet, the Invigilator must ensure the learner is accompanied by a member of staff and does not:

- speak to anyone else
- consult any notes
- have access to a mobile phone or any other electronic devices, eg iPods, Smart watches etc or make any calls
- breach the security of the external assessment.

The remaining learners must not be left unattended at any point.

If a qualification requires a costume change as part of the external assessment, this does not need to be invigilated please refer to the QSID for further details.

4.7.3 Assessment windows – Centre-arranged invigilated sessions

For those qualifications that allow the Centre to plan invigilated external assessment sessions, all requirements for administering and invigilating external assessments must be followed. In addition, the following apply:

- If applicable for the external assessment, work produced in the supervised sessions addressing specific tasks can be taken into the invigilated external assessment to support the learner in completing their invigilated tasks. The invigilator **must** ensure that any preparatory work belongs to the learner. Please refer to the detail in the QSID.
- All assessment material must be securely stored in between sessions.
- External Assessment Documentation must be completed at the end of each session.

4.8 Invigilation Arrangements for learners with approved reasonable adjustment requirements

4.8.1 Reader/Computer reader

The centre is responsible for making sure that the learner and reader cannot be overheard by or distract other learners. Where computer readers are used it would be best practice where possible to use headphones.

Further detail on one-to-one and group reading arrangements can be found in Section 7 of JCQ ICE document 2017/2018.

4.8.2 Scribe/Speech recognition technology

The centre is responsible for making sure that the learner and scribe cannot be overheard by or distract other learners.

Further detail on one-to-one arrangements can be found in Section 7 of JCQ ICE document 2017/2018.

4.8.3 Oral Language Modifier

Learners requiring an Oral Language Modifier should be accommodated separately. A separate Oral Language Modifier and Invigilator must be made available for each learner who requires it. The Invigilator is responsible for monitoring the conduct of the Oral Language Modifier throughout the duration of the assessment.

4.8.4 Practical Assistant

Learners requiring this adjustment may need to be accommodated separately. The practical assistant must be made aware, prior to the external assessment, of the tasks they are approved to carry out.

4.8.5 Sign Language Interpreter

Learners requiring this adjustment may need to be accommodated separately. If this is the case a separate Invigilator will be required.

4.8.6 General instructions for Invigilation practice of learners with reasonable adjustment arrangements

Where a person is appointed to carry out the above responsibilities in support of adjustments, the Head of Centre must ensure the person appointed is appropriately trained and understands their role.

Training sessions must be organised and details recorded for invigilators and those facilitating adjustment arrangements. These may be requested by NCFE and should be retained for 3 months after the results release date.

4.9 Invigilation Arrangements for learners with delegated reasonable adjustment requirements

4.9.1 Word Processors

Centres are allowed to provide a word processor to a learner where it is their normal way of working in the centre, unless specifically prohibited by the qualification specification.

A word processor must:

- be in good working order
- be cleared of any previously stored data. Where required, a centre must provide a memory stick to the learner which has also been cleared of any stored data
- be accommodated so as not to distract other learners; if in a separate room a separate invigilator will be required
- have no access to internet or intranet unless specified as appropriate in the QSID
- not give learners access to applications prohibited for use in the assessment, for example calculators
- be connected to a printer or have the facility to under supervision
- if using a laptop must be sufficiently charged if a power socket is not available for the duration of the assessment
- auto-save should be enabled to ensure learner responses are regularly saved. Alternatively, the Invigilator must remind learners at regular intervals.

It is the Centre's responsibility to ensure learners are clear on requirements for saving and printing.

4.9.2 Separate room/rest breaks

Where this adjustment is required learners must be accommodated with a separate invigilator and all regulations and guidance within this document must be adhered to.

4.9.3 Prompter

- A prompter is not a reader, scribe or practical assistant but the same person may act as a prompter where a learner has these arrangements approved.
- The prompter must not be the learner's own subject teacher, relative, friend or peer.

4.9.4 Read Aloud and/or examination reading pen

A permitted reading pen must not have an in-built dictionary, thesaurus or data storage facility and must be provided by the Centre. If accommodated with other learners in the external assessment room, the learner must use headphones so as not to distract other learners.

4.9.5 Bilingual Translation Dictionaries

For learners whose first language is not English, Irish (Gaelic) or Welsh and for whom the use of a bilingual translation dictionary represents their usual way of working, a bilingual translation dictionary can be provided unless prohibited by the qualification. Details can be found in the Guidance to accessing Reasonable Adjustments.

A standard bilingual translation dictionary must be used. Monolingual dictionaries, translators, wordlists or glossaries must not be used.

Centres are responsible for providing bilingual translation dictionaries and ensuring that no unauthorised materials are enclosed.

Translation of external assessment materials or learner responses into or from the learner's first language is not permitted.

Section 5

End of the External Assessment

At the end of the allocated time, learners must be instructed to:

- stop writing/working. If learners fail to do so they must be warned that they face disqualification
- check their personal details are correct and completed
- label their work (see [Section 5.2](#))
- remain seated and silent while the Invigilator collects all the external assessment material. Only when all the paperwork is accounted for can learners leave the room
- for online assessments the system will automatically move the learner to the final screen when they finish the assessment or the allocated time has expired. Learners may leave the room at the discretion of the Invigilator, ensuring no disturbance is caused to other learners.

Invigilators must ensure any rough paper is collected in and securely destroyed.

5.1 Printing of evidence

If printing is a requirement of the assessment, then instructions provided on the assessment must be followed and time allowed as appropriate.

Where printed evidence is a requirement of the assessment, the computer **must** either be connected to a printer so that a script can be printed off, or have the facility to print from a portable storage medium. Printing must be completed after the assessment is over. The learner must be present to verify that the work printed is his or her own. Word processed evidence must be attached to any assessment materials.

5.2 Labelling of work

All individual pieces of evidence produced/storage mediums and additional paper used by the learner during NCFE external assessments must be clearly labelled by the learner with:

- Centre name
- Centre number
- learner name
- learner number
- task number.

Centres can provide stickers with these details on if required.

Labelling can be completed after the external assessment under supervision to ensure the learner is not changing/adding to their answers.

If an Examiner is unable to identify the evidence that relates to each task, then the work may not be marked.

5.3 Electronic evidence

NCFE allows submission of electronic evidence for elements of some external assessments in particular subjects. Centres should check the Qualification Specification and QSID to ensure they comply with the requirements for the qualification they are delivering.

- Accepted file formats can be found in the QSID
 - If electronic evidence is received which is in a format not on the list of acceptable file formats, then the Examiner will not be able to mark the work. NCFE will make the Centre aware of such an issue as soon as possible.
 - Evidence must be clearly labelled and structured to allow easy access for the Examiner – see [Section 5.2](#)
 - Learners should ensure all files have been saved on the storage medium for the assessment and that the file can be opened. Omissions will **not** be accepted after submission.
- If a learner has used a computer to produce evidence which is not allowed to be submitted electronically, eg word documents, presentations, leaflets etc, this evidence should be printed out and attached securely to the external assessment. Learners should be reminded that:
 - their name, NCFE learner number, Centre name and Centre number should appear as a header or footer on each page
 - the task/question is attributed to the answer.
- Where audio/visual evidence of multiple learners is used, Centres must ensure:
 - that each learner being assessed is clearly visible and identifiable. See the QSID for additional information
 - only work relevant to the assessment is provided, with the assessment criteria clearly demonstrated.

5.3.1 Storage mediums

- Learner evidence can be submitted on a separate storage medium per learner or one storage medium for all learners.
- Storage mediums must be supplied by the Centre and must be clear of any previously stored data.
- Storage mediums will not be returned to the Centre.

5.3.2 Retaining electronic evidence

Evidence completed electronically by the learner as part of the external assessment must be retained by the centre for NCFE audit purposes until results have been released. Only the Designated Person should have access to this if instructed by NCFE to do so. Under no circumstances should any other member of staff or any individual have access to the electronic work.

5.4 External Assessment Documentation

Centres must ensure that External Assessment Documentation is fully completed before returning to NCFE. Any omissions/discrepancies will be followed up by NCFE and may delay in the release of results. Centres should contact the Customer Support Team if they have any queries on how to complete the documentation.

5.5 Returning external assessments

Under no circumstances should completed assessment material be accessed or copied by the Centre. Centres are responsible for the return of all relevant external assessment material.

- Partially or fully completed learner work, and the External Assessment Register(s)/Submission List, must be returned to NCFE by special delivery/secure courier within one working day of the external assessment taking place or the final timetabled supervised/invigilated session.
 - Late return fees will apply to any completed external assessment material that is not received 48 hours following the external assessment. Please refer to the Fees and Pricing Document for further information.
 - Late returns will be marked at NCFE's discretion. NCFE will investigate why the external assessment material has not been returned as required.
 - NCFE are not responsible for any submitted external assessment material until it has been delivered to the designated address and is signed for by a member of NCFE staff.
 - **Please note** if the assessment is split across tasks or sittings please retain completed assessments securely stored and only return all assessment papers and associated paperwork when all learners have completed in line with the appropriate deadlines.
- For qualifications that have an Examiner visit, such as NCFE's Level 2 Certificate in Creative Studies: Art and Design, only the External Assessment Register will need to be returned following the last invigilated session or by the cut-off date at the latest, as the marking of learner work is carried out at the Centre by an NCFE Examiner. Centres must therefore ensure that all paperwork and completed learner work is stored securely – Please refer to the QSID for additional details.
- Centres must ensure that no external assessment and/or learner evidence is tampered with/copied at any point during or at the end of the assessment.

NCFE Functional Skills and MCQ assessments – all external assessment materials including unused papers must be returned to NCFE in line with our published timescales.

All other qualifications do not require unused materials – including papers – to be returned. However, they must be securely disposed of after the assessment and not released to delivery staff.

5.6 Withdrawal from the external assessments

Qualifications with limited external assessment attempts:

- If a learner attends the external assessment this counts as an attempt and the entry cannot be withdrawn.
- If a learner does not attend the external assessment (has not accessed the paper at all) then this entry will not count as an attempt. A re-sit fee will be charged on the learner's next sitting if the external assessment paper/s for those that do not attend were already despatched to the centre.

Section 6

Contacts

If you've any queries about the content of these Regulations, please contact the Assessment Delivery Team

For NCFE and CACHE qualifications:

Email: assessmentdelivery@ncfe.org.uk

Telephone*: 0191 239 8000

Post for NCFE and CACHE qualifications:

NCFE

Q6, Quorum Business Park

Benton Lane

Newcastle upon Tyne

NE12 8BT

*To continue to improve our levels of customer service, telephone calls may be recorded.

Appendices

Appendix A – Mobile Phone Poster



**NO IPODS MOBILE PHONES
MP3/4 PLAYERS
SMARTWATCHES
NO POTENTIAL TECHNOLOGICAL/WEB
ENABLED SOURCES OF INFORMATION**

Possession of unauthorised items, such as a mobile phone, is an infringement of NCFE's Regulations for the

Conduct of External Assessment and could result in

DISQUALIFICATION

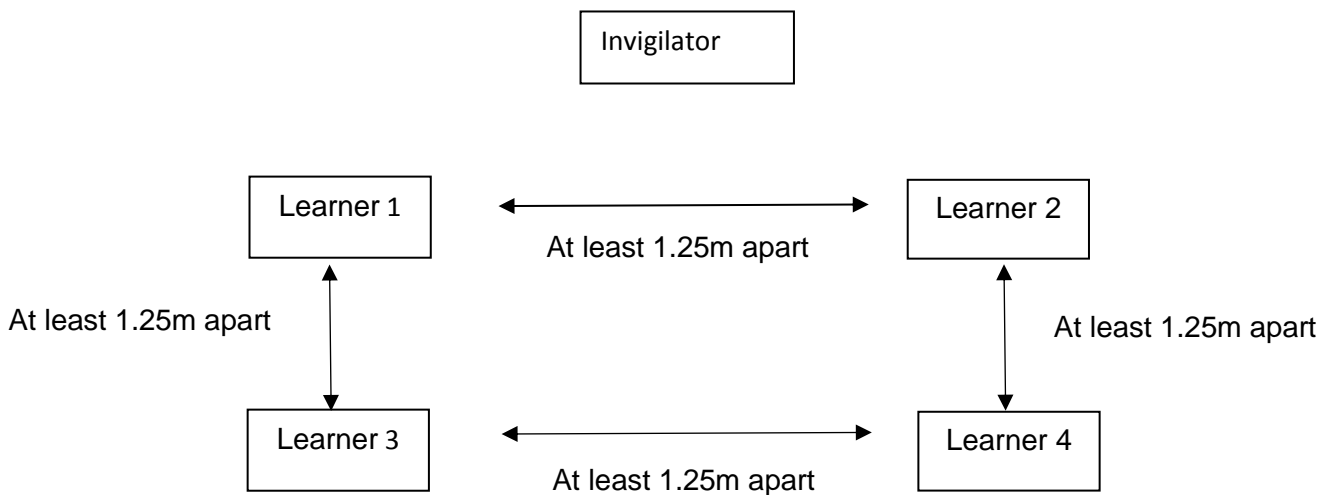
from your examination and your overall Qualification.

Appendix B – Seating Plan

NCFE requires you to use a seating plan for each external assessment. This allows a Centre to track which learners have attended an external assessment and helps when conducting investigations, should they occur.

This seating plan is an example of how you could plan a room and record it. See [Section 3.11](#) for detail on accommodation of the assessment.

We would recommend seating learners in the order which they appear on the External Assessment Documentation supplied with the external assessment papers.



Appendix C – Instructions for the supervisor to read out before starting supervised sessions

The following should be read out at the beginning of each supervised session:

- I am now in the role of Supervisor for this assessment not your Tutor/Teacher (if applicable)
- this external assessment consists of supervised (*and invigilated if applicable*) assessments. You have a list of dates and times when the supervised/invigilated sessions will take place. You must complete both the supervised and invigilated sessions if appropriate
- you must work independently and decide yourself how to approach the assessment task/s.
- read the “instructions for learners” in the external assessment paper and make sure that you understand them
- you must decide yourself how to present your evidence. This must be the most appropriate method which will fit the requirements of the assessment task/s
- I cannot provide you with any feedback or help with any tasks (if applicable). Where appropriate the timings for the assessment task/s have been provided on the external assessment paper. Use these as a guide to how long you should spend on each task. (*See QSID for the information relating to the particular qualification*)
- all the work produced for the external assessment must be your own
- all your evidence must be clearly labelled with our Centre name, number, your name and your NCFE learner number. Each piece of evidence should have the task number written clearly:
 - if the Examiner is not able to identify which task a piece of evidence relates to then they may not be able to mark that work
- as this is an external assessment you should not upload or share any work or evidence on any social media sites, or discuss with anyone
- if there’s any evidence which is allowed to be submitted electronically you are responsible for saving this in an acceptable format. All other work completed on the computer must be printed out and attached to the external assessment. You must ensure that all files are submitted for your assessment
 - if the Examiner is not able to access the evidence then they will not be able to mark the work.

Appendix D – Instructions for the invigilator to read out before starting invigilated external assessments

These instructions should be read out at the beginning of each invigilated external assessment session:

- do not begin your external assessment until I/we instruct you to do so
- please complete your name, NCFE learner number, Centre number and Centre name on the front of the external assessment paper
- read the “instructions for learners” in the external assessment paper and make sure that you understand them
- read each task/question carefully and attempt to complete all parts of the task/questions as instructed in the external assessment
- please ensure that your answers are clear and legible
- you must not have any notes, books, dictionaries or other information with you unless it is specifically allowed by the rules of the external assessment. If you have brought anything into the room you must give it to me/us before the external assessment begins
- you must not use the internet unless it is specifically permitted by the rules of the external assessment
- mobile phones, smart phones, iPods, tablets and Kindles and any other means of electronic communication aren’t allowed in the external assessment room. If you’ve brought these into the external assessment room please switch them off and place the item(s) in your bag. Bags, coats and any other belongings should be left in the designated area of the external assessment room out of your reach.
- you must not communicate with anyone other than me/us in any way. If you have any problems and need to speak to me/us, please raise your hand to attract my/our attention. Don’t make a noise or distract other learners. *(In the case of the NCFE Level 2 Certificate in Creative Studies: Performance Skills, learners are permitted to communicate with each other if they’re carrying out a group performance)*
- check that you have all the resources you require to complete the external assessment
 - if you need to collect materials or resources, it’s acceptable for you to do so, but please do not distract other learners
- if you require additional paper, please raise your hand and it will be brought to you. This must be labelled clearly and securely attached to your external assessment paper

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- I/we will not be able to explain the tasks; I can, however, give you technical assistance, eg if there is a power failure or your computer crashes
 - food and drink is allowed; however, all packaging and labels must be removed. (*This point is at the Head of Centre's discretion*)
 - if you finish your work and wish to leave, please raise your hand and I/we will check the time before giving you permission to go. Please leave as quietly as possible, so as not to disturb other learners. Make sure that you have left your work behind. Please note that you will not be able to return to the room. (*For the NCFE Level 2 Certificate in Creative Studies: Performance Skills, it may not be appropriate for the learners to leave until the performance has finished*)
 - you must not take any paperwork relating to the external assessment out of the external assessment room
 - you must sign the learner declaration on the front of your assessment paper (*if applicable*)
 - by starting the external assessment you are agreeing that you have understood and accepted these rules. Any breach may be considered malpractice.