



ESOL
International

English Speaking Board (International) Ltd.®

ESBinItaly Centre Handbook 2019



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Introduction

English Speaking Board (International) Ltd. (ESB International) offers high quality Speech and Language qualifications in the UK and internationally. It aims to promote clear communication at all levels and recognises the potential of all.

ESBinItaly began working with ESB in 2014 to carry out its ESOL International qualifications in more than 150 centres across Italy. The assessments are marked and administered externally by ESB. ESB also provides training to teachers and assessment staff.

ESB International's ESOL International qualifications are mapped to the Common European Framework of Reference for Languages (CEFR) and are designed to encourage progression.

This manual which must be following order to ensure that ESB International is fulfilling its General Conditions of Recognition.

1. Booking procedures:

When ESBInItaly satellite centres register a candidate on the ESBInItaly platform for an examination, they must:

- Book with a minimum notice period of **four business days** for each session, including Fast Track.
- Inform the candidate of the day(s), time(s) and location(s) of the examinations.
- Ask whether the candidate wishes to declare any special needs (see 2. Passing on Candidate Information).
- Ensure that the candidate's name is spelt correctly on the ESBInItaly platform and is written as they wish it to appear on the certificate. In the event that this information is incorrect, an additional fee will be charged to ESBInItaly for a re-issued certificate.

2. Insurance and Health and Safety

- ESBInItaly satellite centres are responsible for ensuring that they have adequate insurance cover for the running of the examinations at their chosen venues and that licences/permission are obtained as necessary.
- ESBInItaly satellite centres are required to comply with all health and safety regulations that apply under law.

3. Recruiting Invigilators

- ESBInItaly is responsible for recruiting Invigilators for the examination. In nominating invigilators for appointment, satellite centres should be aware that if these persons are found to have engaged in malpractice or maladministration, this may put at risk the accreditation of the satellite centre with ESB International.
- There should be at least **two Invigilators per twenty-five candidates** and **one Supervisor per four classrooms**. These Invigilators must have a certificate in English proficiency equal to B2 of the Common European Framework.
- The CVs of the Invigilators along with any supporting documents (E.g. English Language certificates) must be inspected by ESBInItaly and **uploaded to Egnyte**.
- ESBInItaly satellite centres are responsible for the remuneration of Invigilators and all costs associated with the invigilation.
- Invigilators will be provided with a copy of the 'Invigilator's Handbook' at least one week before the examination date.

7. Supervisors and Invigilators

- a) A Supervisor may be appointed from the Invigilator pool if the centre is running multiple examination sessions at the same time.
- b) The Invigilator must act, at all times, in accordance with the Invigilator Handbook (a copy of which ESBInItaly will ensure is available to every Invigilator at every satellite centre).
- c) The main function of the Supervisor and Invigilator is to ensure that the examination is completed under the required conditions and that work is completed by the learner for whom it is submitted.
- d) It is the responsibility of the Supervisor/Invigilator to ensure that the Examination Room(s) meets the expectations detailed in the ESBInItaly Centre Handbook.

- e) It is the responsibility of the Supervisor/Invigilator to ensure adherence to procedures relating to security, delivery and return of papers detailed in the ESBinItaly Centre Handbook.
- f) The Invigilator and Supervisor must ensure that all Reasonable Adjustments are enacted as per the information provided by ESBinItaly.
- g) Any incident, that means that a learner could not complete their examination, or that the examination as a whole could not be completed under the required conditions, or that a learner did not complete their own work, **must** be recorded as an incident on an Incident Report Form.

8. Examination Rooms

Designated Examination Rooms should have adequate lighting, heating, ventilation and limited external noise.

It is the responsibility of the Supervisor/Invigilator to ensure that Examination Room(s) has/have been properly set up in accordance with the following instructions:

- Display clear direction signs to guide candidates to the Examination Room and place appropriate signs to alert others that the examination is taking place. Rules and regulations for candidates must be clearly displayed.
- Check that there is nothing in the environment that might disrupt the examination, e.g. parents waiting outside.
- A clock should, if possible, be available and visible to all candidates.
- Remove any materials that may advantage candidates, e.g. wall-charts.
- Each candidate must have an individual desk.
- Desks must be arranged at least 1.5m apart and in rows to prevent communication between candidates.
- The desk must be large enough for the candidate to work comfortably.
- Invigilators must be able to observe and have access to the desks of all candidates.
- All candidates must be seated in the same direction.
- Check the audio equipment to ensure it is functioning properly.
- Ensure volume is set to the appropriate level so that it does not need to be adjusted during the examination.
- Optical Mark Forms and Writing Answer Booklets should be placed on each candidate's desk.
- Pencils, pens and erasers, if provided, to be placed on desk. **No scrap paper to be used.**

9. Security, Delivery and Return of all Assessment Papers

- The Invigilator can download examination papers and related audio files from the ESBinItaly platform 24 hours prior to the examination and print sufficient copies for the examination day. This download is password protected and will expire at the examination start time.
- All examination papers are to be held in a secure, locked room or other similar facility prior to the examination. A locked and secure room must be one where only the Invigilator has access.
- The Invigilator is responsible for overseeing that all procedures for the collection of examination papers, as set out in the 'Invigilator's Handbook', are followed.
- All examination papers, used or unused, must be packed and returned to ESBinItaly within 10 working days of the completion of the examination.
- All examination papers are to be returned to ESBinItaly by a secure courier, in accordance with the

terms of the contract. While papers are awaiting delivery to ESBinItaly they must be held in a locked and secure room or similar facility.

- **Failure to follow these procedures will result in delays in results being issued and potential allegations of malpractice.**

Oral Assessors and Interlocutors

1. ESBinItaly obligations:

- Satellite Centre is responsible for recruiting sufficient numbers of Oral Assessors for the examination. In nominating oral assessors for appointment, satellite centres should be aware that if these persons are found to have engaged in malpractice or maladministration, this may put at risk the accreditation of the satellite centre with ESB International.
- a) Oral Assessors must:
- Be either native speakers of English or else have a certificate in English proficiency equal to C2 of the Common European Framework.
 - Have either a Cert-TESOL from Trinity or Cambridge as a minimum award (or equivalent). Any applications with other awards must be submitted to ESB International for approval.
- b) ESBinItaly must retain for inspection by ESB International, the CVs of the Oral Assessors, along with any supporting documents (e.g. English Language Certificates). These must be uploaded onto Egynte.

2. Approval to undertake the role of Oral Assessor and Interlocutors

- a) All Interlocutors and Oral Assessors must complete an initial ESB International training programme before being approved.
- b) All approved Interlocutors and Oral Assessors must be registered with ESB International and receive an Examiner ID code. This code must be recorded on each OMR sheet to indicate whether the examiner has acted as the Oral Assessor or the Interlocutor.
- c) All approved Oral Assessors must attend the annual ESB International standardisation meeting in order to retain their registration.
- d) Oral Assessors must be provided with a copy of the Handbook for Oral Assessors and this must be used throughout the examination series.
- e) Oral Assessors must attend in full one of the standardisation sessions run by ESB International each year. Failure to do so, will mean that the Oral Assessor cannot participate in the Oral Assessments for that particular year.

3. Carrying out Oral Assessments:

- a) There must always be two examiners present for all levels of ESB's International Oral Assessments. One examiner acts as the Interlocutor and the other examiner acts as the Assessor. These roles are interchangeable and it is expected that examiners will swap roles during the course of an examination session.
- b) Candidates must be examined in pairs and, in the case of an odd number, examined in a group of three. If there is only one candidate at an examination session, a 'dummy' candidate of similar linguistic ability must be provided to act as a partner.

- c) In exceptional circumstances, where only one approved examiner is able to conduct the examination, this examiner **MUST** perform the role of the Oral Assessor.

4. Communication

The satellite centre must ensure that effective and clear communication channels are in operation between themselves, Supervisors, Invigilators and ESB International throughout the examination.

5. Requests for Remarking and Appeals

If a candidate wishes to have their paper reviewed, this will be carried out in line with contractual arrangements. Appeals must be received, in writing, by ESB International **within fifteen days of the issuing of results by ESB International**. Any necessary supporting documentation should be included with the appeal.

6. Satellite Centre Inspection

Please refer to the ESB International Sanctions Policy on p. 17.

Preventing and managing Malpractice and Maladministration

Policy Name:	Preventing and managing Malpractice and Maladministration Policy and Procedures
Implementation Date:	March 2019
Review Date:	March 2020

Overview of Policy

Section 1 - Policy Introduction

English Speaking Board (International) Ltd. (ESB International) is recognised as an awarding organisation in Scotland, England, Wales and Northern Ireland.

1.1 Purpose of the Policy

To establish why the prevention and management of malpractice and maladministration is important to ESB International and to clearly define what those terms mean for ESB International, its centres, satellite centres, venues and related staff and contractors.

As an Awarding Organisation we must take all reasonable steps to prevent the occurrence of any malpractice or maladministration in the development, delivery and award of qualifications which we make available or propose to make available. This document sets out ESB responsibilities for dealing with, investigating and managing alleged malpractice or maladministration.

For an Awarding body to be suitable for continuing recognition by Ofqual, ESB must not, by any means or omission which has or is likely to have an adverse effect, render itself unsuitable to be recognised for the awarding of relevant qualifications.

1.2 Communication of Policy

ESB's malpractice and maladministration policy must be widely communicated, owned, understood and adhered to by all individuals associated with qualifications in approved centres, satellite centres and examination venues.

1.3 Review of Policy

ESB will review this policy in accordance with its published timescales, to ensure its procedures and practices continue to meet legislative and regulatory compliance. It reserves the right to make ongoing changes in line with customer and stakeholder feedback, changes in practices, actions from the regulatory authorities or external agencies or changes in legislation.

1.4 Scope of Policy

- All qualifications offered by ESB.
- All individuals associated with qualifications in approved centres, satellite centres and examination venues.

Section 2 – Definitions used

Adverse Effect – an act, omission, event, incident or circumstance has an Adverse Effect if it –

- a) Gives rise to a prejudice to learners or potential learners or –
- b) Adversely affects –
 - The ability of the awarding organisation to undertake the development, delivery or award of qualifications in accordance with its Conditions of Recognition.
 - The standards of qualifications which the awarding organisation makes available or proposes to make available, or –
 - Public confidence in qualifications.

Centre – An organisation undertaking the delivery of an assessment (and potentially other activities) to learners on behalf of an awarding organisation. Centres are typically educational institutions, training providers, or employers.

Satellite Centre – Means any premises at which examinations are held, and must meet the requirements as identified in the ESBinItaly Centre Handbook and Invigilators Handbook.

Venue – Any premises at which examinations are held, and must meet the requirements as identified in the ESBinItaly Centre Handbook and Invigilators Handbook.

Learner – A person who is registered to take a qualification and to be assessed as part of that qualification.

The terms “malpractice” and “maladministration” are not defined in Ofqual’s Handbook: General Conditions of Recognition (1st Nov 2018) and are given their ordinary meaning in English.

Maladministration – is a non-deliberate activity, neglect or practice where an approved centre or its satellite, examination venue, staff or learner does not comply with the requirements for delivery of the qualification as set out in documents issued by the regulators or ESB International.

Malpractice – is any activity, neglect or practice which breaches the regulations relating to the assessment and award of the of a qualification and affects the integrity of the qualification or ESB as the Awarding Organisation and its reputation.

It covers any deliberate actions, neglect or practice which could compromise:

- assessment process (internal or external)
- integrity of a regulated qualification
- validity of a result or certificate
- reputation and credibility of ESB
- qualification or the wider qualifications community

Examples of Maladministration and Malpractice

The categories listed below are examples of **malpractice and maladministration by centres, satellite and examination venues and their staff and contractors**. Please note that these examples are not exhaustive and are only intended as guidance

- Failing to keep examination material secure prior to an examination
- Failing to report an instance of suspected malpractice in examinations or assessments to ESB as soon as possible after such an instance occurs or is discovered
- Failing to declare conflicts of interest that may affect the integrity of the assessment
- Discussing or otherwise revealing secure information in public, e.g. internet forums
- Moving the time or date of a fixed examination (beyond any arrangements previously agreed with ESB)
- Failing to adequately supervise learners during an examination session
- Permitting, facilitating or obtaining unauthorised access to examination material prior to an examination
- Failing to retain and secure examination papers after an exam in cases where the life of the paper extends beyond the particular session
- Tampering with learner scripts or controlled assessments after collection and before dispatch to ESB.
- Fraudulent claim for certificates
- Plagiarism by learners/staff
- Unauthorised amendment, copying or distributing of exam/assessment papers/materials
- Use of false ID's
- Impersonation of a learner for an assessment
- Creation of false records
- Cash for certificates (e.g. the selling of certificates for cash)
- Selling papers/assessment details
- Inappropriate assistance to learners by a centre or satellite or examination venues staff (e.g. unfairly helping them to pass a qualification, including assisting or prompting learners in speaking assessment)
- Denial of access to premises, records, information, learners and staff to any authorised ESB representative and/or the regulatory authorities
- Failure to carry out assessment, internal moderation or internal verification in accordance with ESB requirements
- Granting access arrangements to learners which do not meet the requirements of the ESB publication on Reasonable Adjustments and Special Consideration
- Deliberate failure to continually adhere to centre recognition
- Deliberate failure to maintain appropriate auditable records

Deliberate misuse of ESB logo and trademarks

Permitting collusion in exams/assessments

The inappropriate retention or destruction of certificates.

- Intentional withholding of information which is critical to maintaining the rigour of quality assurance and standards of qualification
- A loss, theft of, or a breach of confidentiality in, any assessment materials
- Subverting the assessment or certification process with the intent of financial gain
- Fraud
- Failure to adequately train invigilators and or other personnel
- Not ensuring that the examination venue conforms to ESB International's requirements
- Failing to retain and secure examination papers after an exam in cases where the life of the paper extends beyond the particular session
- Bringing into the examination room or assessment situation unauthorised material
- Failing to ensure that mobile phones are placed outside the examination room and failing to remind learners that any mobile phones or other unauthorised items found in their possession must be handed to any invigilator prior to the examination starting
- Failure to keep accurate and up to date records in respect of access arrangements
- Failure to complete examination and or assessment documentation
- Failing to post notices relating to the examination or assessment in all rooms where examinations and assessments are held
- Failure to complete incident reports during an examination and or assessment
- Failing to maintain the security of learner scripts prior to dispatch to ESB
- Failure to invigilate in accordance with ESB Instructions for Invigilators (Centre /Invigilators Handbook)

The categories listed below are examples of **learner** malpractice and maladministration. Please note that these examples are not exhaustive and are only intended as guidance

- Bringing into the examination room or assessment situation unauthorised material, for example: notes, study guides and personal organisers, own blank paper, calculators, dictionaries (when prohibited), instruments which can capture a digital image, electronic dictionaries, reading pens, translators, wordlists, glossaries, iPods, mobile phones, mp3 players, pagers or other similar electronic devices
- Failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments
- Collusion: working collaboratively with other candidates
- Copying from another candidate (including the use of ICT to aid the copying)
- allowing work to be copied e.g. Posting answers to examinations on social media AND OR networking sites after an examination and or assessment
- Disruptive behaviour in the examination room or during an assessment
- Exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examination related by means of talking, electronic, written or non-verbal communication
- Allowing others to assist in the production of examination answers

- The misuse, or the attempted misuse, of examination and assessment materials
- Being in possession of confidential material in advance of an examination or assessment
- Bringing into the examination room notes
- Impersonation: pretending to be someone else, arranging for another person to take one's place in an examination or an assessment
- Plagiarism: unacknowledged copying from published sources
- The unauthorised use of a memory stick where a candidate uses a word processor
- The alteration or falsification of any results document, including certificates
- A breach of the instructions or advice of an invigilator, examiner, or ESB in relation to the examination or assessment rules and regulations
- Failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments
- Making a false declaration of authenticity
- Allowing others to assist in the production of an examination answer

Section 3. – Procedures and responsibilities relating to allegations of malpractice and maladministration (see Conditions A8.2 & A8.3)

Activity	By whom	When
Allegation received by ESB International	ESB International	Day 1
Are there reasonable grounds for that suspicion or allegation?	CEO as Responsible Officer (RO)	Day 2
If no; communicate outcome to parties making the allegation	QA	By Day 7
If Yes; AO must so far as possible, establish whether or not the allegation of malpractice or maladministration has occurred.	ESB International potentially using investigation carried out by third party	From receiving allegation, investigating to communicating outcome 45 days
Investigative process: decision made whether outcome of allegation may be arrived at solely on paperwork or require an investigation	CEO as Responsible Officer	By day 5
If investigation needs to be carried out ESB defines the remit of the investigation and using written procedures, ensures investigations are carried out rigorously, effectively and by persons of appropriate competence, who have no personal interest in the outcome	Prepared by QA, approved by RO	Days 5-10

Appoints an investigator – investigations are carried out by the Senior Officer of the Centre or satellite centre unless: QA Manager

- The centre or satellite centre in question is under suspicion that they were themselves connected to or responsible for the malpractice or maladministration; then ESB would investigate OR
- The allegation against a centre or satellite centre meets the definition of ‘serious’ that being if found the matter could result in centre disqualification then ESB will investigate. If a venue or satellite centre of the centre is the focus of the allegation, then the senior officer of the Centre can investigate a ‘serious’ allegation.
- If the allegation is serious the centre or satellite centre will be suspended from further assessment activities and any booked assessments or examinations will be moved to another venue if geographically close or supervised by alternative staff approved by ESB International.

The draft allegation letter is prepared for all the parties concerned, containing the questions that ESB require to be put to the parties, subject to the allegation. The letter will contain all the facts relevant (date, time location and details of alleged incident including any relevant documentation received as part of the allegation). The letters will also advise the potential sanctions should allegation be proven.

By day 10

The investigator sends the letters to the parties and the investigation commences

Investigator

Day 11

Investigation may take up to 15 days (Day 25 of process)

All responses to all allegations must be made in writing. Due to the administrative burden ESB does not use interviews as part of the investigative process. The investigator must make reasonable efforts to contact

Parties to the investigation

Parties are given 7 days to respond

the parties. Failure by the parties to respond does not preclude the decision maker coming to a conclusion

The Investigator must log all evidence on ESB’s drive including time, date of all evidence received and contact details for the parties so that ESB can verify evidence if required.

Investigator By day 25

Investigation concludes

Investigator informs ESB QA Manager Day 25

Decision maker forms an opinion on the balance of probability and based on the available facts if allegation/s are proven. It is not necessary that all investigations are proven for a finding to be brought down. Each case is decided on its own merits. In making a decision the decision maker will consider:

RO Day 26-40

Terms of any enforceable agreement undertaken by parties involved

If the matter constitutes having an adverse effect as defined by Ofqual

History of proven allegations of the parties to the allegation

That all necessary guidelines to prevent the incident were in place

Any mitigating or extenuating circumstances

The decision maker can impose sanctions if warranted. Consideration as to the sanctions imposed are:

RO By day 40

Any sanctions must reasonably prevent the malpractice or maladministration from reoccurring

Sanctions imposed must be proportionate to the gravity and scope of the occurrence, and cooperation of third parties may be required to enact such sanctions

See sanctions policy for range that can be considered

Decision maker communicates the outcome of the investigation to the investigator and parties to the allegation.

RO Day 40-45

Right of review

By affected parties to Received within 10

Grounds:

RO of ESB days of receipt of

The outcome was incorrect and /or

The process followed was unfair

Any procedural flaws will not automatically result in a decision that the process was incorrect or outcome unfair. Errors or omissions in process will need to be found to have caused a detriment to the parties.

The review will be carried out by a Trustee, supported by ESB's external provider of HR support if required.

Trustee, supported by ESB's external provider of HR support if required.

outcome of investigation

By Day 55

Outcome of appeal communicated within 20 days

Sections 4 – Sanctions

Sanctions for proven malpractice/maladministration by Centres, satellite centres or examination venues (Conditions 8.6 and 8.7)

Any sanctions will be imposed in a proportional manner.

- **Proportionality** mean relating sanctions to risks arising from the activity in question and ensuring that the sanction is designed to achieve the appropriate outcome in the circumstances.

Level	Sanction	ESB Action	Issue	Decision and action taken by
Level 1	Written Warning (no investigation was required)	An email to the head of Centre advising of the activity that has occurred in breach of their Centre Agreement and indicating the remedial measures to be taken immediately. The email may include advice regarding possible further action that may be taken should the remedial action not be taken, or should subsequent breaches occur.	<p>Minor non-compliance with the regulations or maladministration with no direct or immediate threat to the integrity of an examination or assessment.</p> <p>Use of expired examination papers.</p> <p>Repeated failure to disseminate information provided by ESB.</p> <p>Failure to declare Reasonable Adjustments used.</p> <p>Unauthorised use of ESB logo.</p> <p>Retaining any copies of examination papers after the examination and feedback is completed.</p> <p>Repeated failure to provide responsible adult at examinations.</p>	Quality Assurance Manager

Level 2	Centre Review and Report (action plan)	An action plan will be agreed between ESB and the Centre. This will need to be implemented within a specific period as a condition of continuing to accept entries or registrations from the Centre.	A breach of procedures or regulations which, if left unchecked, could result in a threat to the examination or assessment	Quality Assurance Manager
	Restrictions on examination or assessment materials	ESB may, for a period of time, or until remedial action is taken, restrict the Centre from access to assessment material.	A failure to maintain the security of examination or assessment materials. A failure of the Centre's systems resulting in poor management of the examination or assessment, or inadequate invigilation.	CEO as Responsible Officer
	Deployment of independent invigilators	ESB may, for a period of time, or until remedial action is taken, restrict the Centre from using their own invigilators.	A loss of confidence in the Centre's ability to invigilate examinations.	CEO as Responsible Officer

Level 3	Suspension of Centre for a period of time including candidate registrations or entries	ESB may, for a specified period of time, or until specified remedial action has been implemented, refuse to accept candidate entries or registrations from a Centre. This will be applied for all qualifications or a number of qualifications.	A failure of the Centre's systems resulting in poor management of the examination or assessment, or inadequate invigilation. Investigation being conducted into alleged malpractice or maladministration.	CEO as Responsible Officer
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			Threat to the interest of candidates registered on the qualification.	
Level 4	Withdrawal of approval for specific qualification(s)	ESB may withdraw approval for specific qualifications. As a result of this the Centre will not be able to deliver or offer learners ESB qualifications.	Repeated breach of the regulations relating to a specific qualification. Alternatively, a breakdown in management and quality assurance arrangements for a specific qualification or sector/subject area.	CEO as Responsible Officer
Level 5	Permanent Withdrawal and removal of Centre status/ recognition	ESB may withdraw recognition or approval for the Centre. As a result of this the Centre will not be able to deliver or offer learners ESB qualifications. Other awarding bodies will be informed of this action. At the time of withdrawal of Centre recognition, a Centre will be informed if they will be eligible to reapply for Centre approval and if so, the earliest date this may occur. They will also be informed of any action they will be required to take prior to any re-application. Re-approval will not be treated as a formality. Any expense incurred in ensuring compliance with the penalties and/or special conditions must be borne by the Centre. If the head of Centre leaves while the	Proven serious malpractice in relation to the conduct of examinations or assessments.	CEO as Responsible Officer

		Centre is subject to any sanctions or special measures, the awarding body will, if approached to do so, review the need for the continuation of these measures with the new head of Centre.		
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Sanctions for proven malpractice/maladministration by Centre, satellite or examination venue staff

If the allegation of malpractice/maladministration by venue staff is proven, the relevant disciplinary action is the responsibility of the centre. ESB will consider if the integrity of the related assessment has been damaged; what steps should be taken to protect the interests of affected learners if applicable; and what action should be taken to avoid a recurrence. ESB may deem from its findings that the future involvement in any aspect of ESB qualifications of a particular member of staff involved in the malpractice/maladministration has implications for the integrity of the qualification, then that member of staff will be subject to the following sanctions relating to its own qualifications:

Level	ESB Sanction		Decision and action taken by
1	Written warning	Member of staff issued with a written warning that if the offence is repeated, further specified sanctions will be applied.	QA Manager
2	Special conditions	Special conditions imposed on future involvement in examinations and/or assessments by the member of staff.	CEO as Responsible Officer
3	Training	Member of staff required, as a condition of future involvement in examinations/assessments, to undertake specific training or mentoring, within a stated period of time, with a review at the end of the training.	CEO as Responsible Officer
4	Suspension	Member of staff barred from all involvement in the delivery of its examinations/assessments, either for a set period of time or permanently. Other Awarding Organisations/Access Validating Agencies will be informed when a suspension is imposed.	CEO as Responsible Officer

Candidate Sanction

Any sanction imposed on any candidate will apply to all ESB venues in which the candidate is registered, e.g. if a candidate is disqualified from a qualification, they will not be allowed to registered for that qualification in any ESB venue.

Level	ESB Sanction		Decision and actioned by
1	Warning	Candidate issued with a warning that if the offence is repeated, further specified sanctions will be applied	QA Manager
2	Disqualification from a whole qualification	Candidate disqualified from the whole qualification taken.	CEO as Responsible Officer
3	Candidate barred	Candidate barred from being entered for one or more examination. Any qualifications and/or units previously achieved in full are retained.	CEO as Responsible Officer
4	Qualification Invalidated	The candidate's issued certificate is revoked, cancelled and withdrawn. Relevant stakeholders will be notified.	CEO as Responsible Officer

Malpractice – where learner malpractice has occurred, following an ESB investigation and/or hearing, ESB reserves the right to invalidate and revoke the learner's qualification.

Public Interest Disclosure Act (Whistleblowing)

This guidance is principally for centre, satellite or examination personnel who may witness malpractice in ESB examinations and assessments, but may be unsure about what action to take.

The Public Interest Disclosure Act (PIDA) protects workers from detrimental treatment or victimisation from their employer if, in the public interest, they blow the whistle on wrongdoing.

The Act protects most workers in the public, private and voluntary sectors. The Act does not apply to genuinely self-employed professionals (other than in the NHS), voluntary workers (including charity trustees and charity volunteers) or the intelligence services.

Through the introduction of protection for workers who blow the whistle on wrongdoing within or concerning an organisation, the legislation aims to increase the accountability of organisations in the public, private and voluntary sectors. Charities (as part of the voluntary sector) are within the jurisdiction of the Act.

Website: <https://www.gov.uk/government/publications/the-public-interest-disclosure-act>

Ofqual: <http://www.ofqual.gov.uk/downloads/category/142-policies?download+1363%3A>

SQA: <http://accreditation.sqa.org.uk/accreditation/home>

Qualification Wales: <http://qualificationswales.org>

Council for the Curriculum, Examinations and Assessment (CCEA): <http://ccea.org.uk/>

English Language Examinations

Instructions for Candidates

(To be posted outside and inside the Examination Room)

1. Have your ID ready for inspection when you enter the Examination Room. You will not be admitted without ID that has a clear photograph of yourself on it.
2. You will be admitted 10 minutes before the start of the examination.
3. The examination room has been set up for the exam. Do not move the furniture. Sit where you are instructed to do so by the invigilators.
4. All bags and coats must be placed in the designated area of the Examination Room. ESB International takes no responsibility for the loss of students' belongings from Examination Rooms.
5. Ensure all mobile phones are switched off.
6. You are not allowed to use any dictionaries or any notes in the examination.
7. Only pens, pencils, erasers and your ID may be placed on desks (pencil cases are not permitted). The ID must be placed at the top left-hand corner of your desk. The Optical Mark Form must be completed in **PENCIL ONLY**. You must use pen for the written paper.
8. You are not permitted to bring any scrap paper into the examination.
9. Late candidates will not normally be admitted to the Examination Room after the exam start time. However, this is at the discretion of the Supervisor.
10. No candidate who leaves the examination room unescorted will be readmitted for the rest of the exam.
11. The Listening, Reading, Use of English and Writing will be held in this order in one session. The Speaking part will be held in a separate session.
12. All answers for Listening, Reading and Use of English must be transferred to the Optical Mark Form within the Examination time allotted. Candidate question booklets will **NOT** be marked. The Writing section is done in a separate Writing Answer Booklet.
13. Ensure that your name and candidate number are on both the Optical Mark Form and the Writing Answer Booklet.
14. Do not attempt to communicate with any other candidates in the room. Cheating will result in your paper being cancelled.
15. If you have a question, remain seated and raise your hand for an invigilator to come to you. Invigilators may not offer any advice or guidance on either the instructions or on the content of the examination.
16. If a fire alarm should sound during an examination, follow the instructions given by the invigilator. You should leave the room in an orderly way, without talking and without taking anything from your desk, or from the room.

Appendix 2

SEATING PLAN – CERTIFICATES IN ESOL INTERNATIONAL

Please indicate the front of the room, doors and windows, Write the candidate's number in each of the cells in the grid below matching the seating plan of the room:

Appendix 3

INCIDENT REPORT FORM – CERTIFICATES IN ESOL

Date:	
Level:	
Time:	
Name of Invigilator(s) (CAPITALS):	
Name of Supervisor (CAPITALS):	
Centre Name:	
Centre Number:	

Candidate Number	Nature of Incident

Appendix 4

ESBinItaly Satellite Centre Inspection Report Form

Section 1: Main Centre Details *(to be completed by the Inspector)*

Main centre name	ESBinItaly
Main centre address	Via Chiaia, 252 80121 Napoli

Section 2: Satellite Centre Details *(to be completed by the Inspector)*

Satellite centre name:	
Satellite centre ID:	
Head of satellite centre / Principal:	
Invigilator name:	
Snr Invigilator name:	
Please indicate if this satellite centre offers any other examinations, from other awarding organisations? <i>(Please provide details)</i>	
Oral examination satellite centre	<input type="checkbox"/>
Written examination satellite centre	<input type="checkbox"/>
School/further education college/University	<input type="checkbox"/>
Language school	<input type="checkbox"/>
Other <i>(please specify)</i>	<input type="checkbox"/>

Section 3: Inspection Details *(to be completed by the Inspector)*

Date of inspection:	
Inspection announced or unannounced	
Inspected by:	
Please indicate what sector, modes and levels this satellite centre is offering in relation to ESB International.	

Section 4: Administration and security of examination papers *(to be completed by the Inspector)*

Outline the pre and post examination administration and security arrangements/systems *(please provide a detailed description)*

Detail how the papers and listening tasks are downloaded, by whom, and what security methods do you take to ensure that downloads are deleted following the examination? *(please provide a detailed description)*

Detail where the examination papers/materials are stored, both pre, and post examination? (please provide a detailed description)

Section 5: Special considerations for learners (to be completed by the Inspector)

Outline how the examination satellite centre facilities have considered, and accommodate learners who require special arrangements, in relation to the examinations taking place.

(Please include photographic evidence, insert below)

Section 6: Examination inspection criteria

(6a) Environment pre-examination checks *(to be completed by the Inspector)*

Minor/ Major	Criteria	Satisfactory	Improvement needed	Unsatisfactory	N/A
Major	Appropriate room	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Appropriate furniture	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Minor	Appropriate lighting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Minor	Appropriate temperature / appropriate heating (if necessary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Minor	Appropriate ventilation (if necessary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The examination room is an appropriate size for the volume of candidates taking the examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Limited external noise to eliminate/minimise examination disruption	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Minor	Signage displayed which directs candidates to appropriate location	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Examination posters displayed stating that an examination is taking place	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Rules and Regulations for the candidates are displayed and legible	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Clock displayed and visible to all candidates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	There must be 1.5 metres of space between each desk or table	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The desk for each candidate must be large enough for them to work comfortably.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The desks are set up to allow the Invigilator to walk in between and access the desks of each candidate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Ensure that there is nothing in the room that will disrupt the examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Walls are free from display material	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Invigilator has checked the audio equipment to ensure it is functioning properly and ensure the volume is set to the appropriate level so that It does not need to be adjusted during the exam.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(6b) Invigilator/Examination Coordinator Responsibilities *(to be completed by the Inspector)*

Minor/ Major	Criteria	Satisfactory	Improvement Needed	Unsatisfactory	N/A
Major	The appropriate ratio of Invigilators to candidates is correct (There must always be two Invigilators per twenty-five candidates in the room)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must be punctual to the examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Major	The Invigilator must ensure that they have no personal items, including no mobile devices in the examination room	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must check the identity of all candidates before they enter the examination room	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Each candidate must be allocated to a specific Desk	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must complete the Exam Register during the examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must ensure that no candidates who are latecomers are permitted into entering the examination room	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Invigilator must instruct candidates to switch off their mobile phones	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must ensure that all bags, coats and unauthorised materials must be put in a holding area which may or may not be in the exam room	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Minor	The Invigilator must ensure that the start and finish times of the examination are displayed and visible to all	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Minor	The Invigilator must ensure that the satellite centre number is visible to all	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator gives clear instructions to candidates regarding the conduct of the test	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator issues question papers and Optical Mark Forms to candidates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must have a copy of the most current version of the Invigilator Handbook available to them during the examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Minor	The Invigilator must give timing warnings to the candidates throughout the duration of the examination of 30 minutes, 15 minutes and 10 minutes (remaining)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	When there are only 15 minutes remaining, the Invigilator must inform the candidates that no one will be allowed to leave the room until the end of the examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must ensure that the exam finishes promptly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must move around the room during the examination (NOT during the listening examination)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator is attentive and vigilant during the	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	examination				
Major	The Invigilator maintains a professional demeanour at all times	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must not leave the examination room and must not leave examination material unattended for any reason	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must have a means of summoning assistance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must ensure that no candidate(s) leave the room unescorted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must collect all examination papers, review them, and ensure that they have: <ul style="list-style-type: none"> ▪ Counted the correct number of papers against the total number of candidates ▪ Sort the Writing Answer and Optical Mark examination papers into numerical order, checking all the information 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator must ensure that full candidate details are recorded on the front of each of the Writing section Answer Booklet and all Optical Mark Sheets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	Any incidents that have occurred during the examination or following the checks of the papers must be documented on an Incident Report Form, giving as much detail about the incident as possible. The Incident Report Form must be included within the examination paperwork.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Major	The Invigilator has recounted the Writing Answer Booklets and the Optical Mark Forms in order to ensure that the number of Writing Answer Booklets and the Optical Mark Forms tallies with the number written on the outside of the envelope	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(6c): Satellite centre total criteria score *(to be completed by the Inspector)*

Total number: Satisfactory	Total Number: Improvements Needed	Total number: Unsatisfactory	Total number: N/A
/	/	/	

Total number of Unsatisfactory <u>Majors</u>	Total number of Unsatisfactory <u>Minors</u>
/	/

(6d) Invigilator Debrief *(to be completed by the Inspector and the Invigilator)*

The Inspector must give the Invigilator a debrief of the Invigilator’s performance and findings following the examination.

Invigilator to confirm that they have received a debriefing from the Inspector regarding their performance following an examination:	
Invigilator signature.....	Date:
Inspector signature.....	Date:.....

Section 7(a): Findings *(to be completed by the Inspector)*

The Inspector must detail each specific action or recommendation required to be addressed.

- Please note either: Action (A) or Recommendation (R)
- Actions **MUST** be specific, measurable, and timely.

Criteria	A/R	Action / recommendation required	Name of responsible person (satellite centre)	Deadline date (Actions only)	Date closed out	Type of evidence supplied by satellite centre to support close out (pg. 9 & 10)

Section 7(b): Evidence of findings during the inspection *(to be completed by the Inspector)*

Evidence:

(Please include photographic evidence, insert below)



The Inspector must ensure that Sections 1-7 of the form are completed.

A copy of the Inspections Form must be emailed to the Head of the Satellite Centre Representative /Principal for them to complete Section 8 of the form.

Section 8(a) Details of corrective actions implemented as recommended by the Inspector
(to be completed by the satellite centre representative)

Important Requirements: Detail what corrective actions have been made following the inspection at the satellite centre.

Criteria	Corrective Actions taken	Date corrective actions implemented	Evidence Supplied Yes/No/NA	Type of evidence supplied

Section 8(b) Satellite centre's evidence of corrective actions implemented

(to be completed by the satellite centre representative)

Please detail / provide evidence of how you have addressed the actions required, this can be documented evidence e.g. evidence of training, photographs or a signed statement.

--

Satellite centre representative (Name)	
Signature	
Date	

The Satellite Centre Representative must complete Section 8 of the Inspection Form, sign and return by email to ESBinItaly.

ESBinItaly Satellite Centre Inspection: Escalation Form

Satellite Centre Details *(to be completed by the Inspector)*

Satellite Centre name:	
Satellite Centre ID:	
Head of Satellite Centre/ Principal:	
Invigilator name:	
Snr Invigilator name:	
Oral examination satellite centre	<input type="checkbox"/>
Written examination satellite centre	<input type="checkbox"/>
School/further education college/University	<input type="checkbox"/>
Language school	<input type="checkbox"/>
Other <i>(please specify)</i>	<input type="checkbox"/>

Inspection Details *(to be completed by the Inspector)*

Date of inspection:	
Inspection announced or unannounced	
Inspected by:	
Please indicate what sector, modes and levels this satellite centre is offering in relation to ESB International	

The full ESBinItaly Satellite Centre Inspection Report (ESB-QA-Form-01) must also be attached when sending this form to ESB(International) Ltd.

ESB International’s final decision following the inspection

Any sanctions will be imposed in a proportional manner.

- Proportionality means relating sanctions to risks arising from the activity in question and ensuring that the sanction is designed to achieve the appropriate outcome in the circumstances

Sanctions for proven malpractice/maladministration by Centre/Satellite centre:	Level 1: <input type="checkbox"/> Written warning	Level 2: <input type="checkbox"/> Centre Review and report	Level 3: <input type="checkbox"/> Suspension of a centre for a period of time including candidate registrations or entries	Level 4: <input type="checkbox"/> Withdrawal of approval for specific qualification(s)	Level 5: <input type="checkbox"/> Permanent withdrawal and removal of Centre status/recognition
Sanctions for proven malpractice/maladministration by Centre/Satellite centre staff members:	Level 1: <input type="checkbox"/> Written warning	Level 2: <input type="checkbox"/> Special conditions	Level 3: <input type="checkbox"/> Training	Level 4: <input type="checkbox"/> Suspension	
Candidates:	Level 1: <input type="checkbox"/> Written warning	Level 2: <input type="checkbox"/> Disqualification from a whole qualification	Level 3: <input type="checkbox"/> Candidate Barred		

Comments:

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