

ESOL Extraordinary Regulatory Framework Frequently Asked Questions

Question	Answer
Live Assessments i	naccessible in Centre due to lockdown
We have completed live assessments but they are locked in Centre and we have not been able to IQA them. Can we claim them?	Completed, achieved live assessment papers must be Internally Quality Assured to be claimed. You can wait until after the Centre reopens or you can make arrangements where possible to take them safely out of the Centre for IQA under ERF arrangements. It is the responsibility of the Centre manager to ensure that all staff are reminded of the requirements of security and confidentiality, and that papers marked at home are kept securely and are not able to be viewed by other people in the household(s). As soon as is practicable, the papers should be returned to secure storage on Centre premises. Please ensure that a clear record is kept of who has which papers and the dates that these were out of Centre storage.
CAG evidence inaccessible due to lockdown	
Can we use evidence produced before 20th March that is locked down in our Centres to support a CAG? We know it is there and we know it shows the level of the learners but at present, we are unable to access it due to lockdown.	You must be able to provide the evidence that you use to support a CAG if requested for External Quality Assurance. If you are unable to access the evidence currently, you need to make arrangements with your Centre to gain access at short notice to get it if required. If you are unable to do this, you cannot use the evidence to support your CAG.
Some learners have taken their practice papers away and we no longer have them in Centre.	It is acceptable to submit photographs, scans or photocopies of practice papers if the original document is not in the tutors' possession, but the tutors must be satisfied that the image is original, unedited and genuine.
	Trusted Evidence
What do you mean by 'Trusted Evidence'?	This is 'evidence which demonstrates the learner's progress towards the learning aims of the component/qualification'. We have provided information in tables on the website page to illustrate the types of Trusted Evidence we can accept. The most Trusted Evidence is that generated before 20th March and so that should be used to make a judgement and support a CAG claim wherever possible. If that is not possible, you can use evidence generated after 20th March.
If assessment in class before 20th March doesn't show achievement, can additional evidence from after 20th March be used to evidence progress? For example students who failed a paper but only marginally and were due to resit in the summer term?	It may be necessary to collate a range of evidence that builds the picture. Any evidence used that was completed after 20th March is less trusted as it will not have been done under class supervision. However, authentication of this work by the learner and/or tutor strengthens it. The professional judgement of the tutor regarding the progression of a learner can be evidenced in a tutor corroborative statement.

Semester started in Feb so we have no completed live assessments. Evidence produced after 20th March is considered less trusted, can we make claims using less trusted evidence only provided it supports our judgement sufficiently?	Yes - Provided there is enough evidence of progress or achievement for the tutor to make a judgement and it must be authenticated by the learner or tutor as their own unaided work. You should provide as much evidence to show progress as possible.
Can Practice Papers completed by learners at home after the 20th March be used as evidence?	Yes - Provided there is enough evidence of progress or achievement for the tutor to make a judgement and it must be authenticated by the learner or tutor as their own unaided work. You should provide as much evidence to show progress as possible.
How can we evidence courses that started after lockdown?	You can make a claim for an Award using less trusted evidence generated after 20th March. If you are making a claim for a full Certificate, you will need to produce evidence that the learner has completed at least 50% of the course and produced sufficient evidence in each of the three subject areas.
If there is insufficient evidence due to poor attendance but the tutor believes they would cope with the next level then can we use the tutor's overall judgement professional knowledge for CAG?	Poor attendance is likely to be an indicator that the learner has not received sufficient input to claim achievement. Progression to the next level is the decision of the Centre. However, achievement cannot be claimed through the ERF unless there is sufficient evidence. Delaying the assessment until the autumn term would likely be necessary.
Can we make a CAG judgement based on early evidence (diagnostic results plus early practice paper task) and later evidence of progression towards a pass?	We expect tutors to make their CAG judgements based on all the evidence they have available to them. The minimum evidence of progress required for a CAG claim is described on our website. We do not require evidence of initial or diagnostic assessment.
You say evidence needs to demonstrate competence of at least some assessment criteria - but previously you stated you need at least one piece of evidence for each skill that covers assessment/achievement criteria. Which is correct?	We need to see evidence of competence of at least some assessment criteria for each Award or Unit of a Certificate, i.e. one piece of evidence for each Reading, Writing or S&L Unit/Award being claimed.
If a student has continued having classes online since lockdown but we do not have full evidence that they have achieved all exam criteria in the evidence we have for them, can they be claimed as a pass if we believe that they would achieve all criteria in more usual circumstances and are capable of progressing to the next level?	It is not necessary to evidence achievement of all assessment criteria for the tutor to make a judgement to claim a CAG.
How many examples of achievement of assessment criteria are required?	Tutors are expected to use their judgement. There is no specific number.

As good practice we hand back past papers to learners, so many have these at home, for lower levels taking a photo and sending is out of their IT skills, and the front sheets may not be entirely filled in. We find ourselves with trackers for our classes and some past papers. As a trusted Centre, we are hoping that this will be sufficient. We do not want to discriminate against our learners at home with lower IT skills. Why is this only allowed as supporting evidence when for other qualifications it's sufficient as trusted?	The minimum evidence we can accept is one item of learner- generated assessment or work that authenticates that the learner being claimed is on the course at the level being claimed. ESOL qualifications have always been subject to identity verification and authentication of learners, and this is still the case under the ERF.
I'm not aware of any other AO requesting a corroborative statement from the tutor. Why has Ascentis taken this approach?	Other AOs are asking for statements from tutors that are detailed and involved.
	Electronic evidence
Can practice papers (listening & reading) be converted into an on-line format e.g. Microsoft or Google forms and used as evidence? Does Ascentis have any plans to convert practice papers?	Ascentis does not have the 'adaptation 'mitigation so learners are not permitted to take Ascentis assessments online as an adaptation.
We have evidence in the form of photos of handwritten work. Can we use photographed evidence of work students have at home? Can we use scanned PDFs of paper evidence?	Good quality photographs, photocopies and scans of learner work can be accepted provided the tutor is satisfied it is the learner's own unaided work. This can be saved as a PDF. The work must be at the appropriate level of study and marked by the tutor.
We have online evidence sent in by students and marked and saved per student. Can these be used?	Yes provided the tutor is satisfied they are the learner's own original and unaided work. The work must be at the appropriate level of study and marked by the tutor.
Would you accept a recorded Zoom session as an example of Speaking and Listening?	Yes
If a learner completes a practice paper during a live video conferencing (with the tutor invigilating throughout via Zoom) is this accepted evidence?	Authenticated work completed online can count towards a calculated result. It would be preferable if it were supplementing more trusted evidence generated prior to 20th March.
If a practice paper is shown on screen and learner answers are on plain paper sent by photo/email to lecturer, is that acceptable where the tutor has monitored and can verify?	Authenticated work completed online can count towards a calculated result. It would be preferable if it were supplementing more trusted evidence generated prior to 20th March.

Are learners are allowed to fill in the practice papers electronically? Or do they have to hand write as evidence for CAG?	If they handwrite, it is easier to authenticate it as the learners own work. If they fill in the answers electronically but the assessor is watching via Zoom and can authenticate it is the learners own unaided work that would be acceptable. If the paper is completed electronically remotely, it would be difficult to be sure of an electronic copy as trusted evidence.
Is it ok for learners who cannot attend Zoom sessions to produce their work at home and submit it to teachers on the condition that the work has been completed independently?	Tutors must be satisfied that work used to support a CAG judgement has been produced unaided. Both the learner and the tutor must formally confirm that the work is the learner's own unaided work.
Assignments are sent on Microsoft TEAMS for Reading and Writing- would they be acceptable evidence authenticated by student and teacher?	Yes
Does Ascentis have any advice on how to deliver practice reading assessments remotely?	Tutor devised activities can be used that mirror the types of questions in the reading paper and reflect the assessment criteria. The text needs to be at the correct level.
Can the evidence be solely electronic?	Yes
I have used practice papers to create Edmodo quizzes. How could I use these as evidence?	You need to be able to provide evidence in paper or electronic form if requested for EQA purposes. EQAs do not have access to Edmodo so you would need to print off the evidence to send it or copy it into an electronic form such as a MS-Word document or PDF that an EQA can access.
What about timing, should we allow learners the time they need rather than the guide time?	All timings are given as a guide and learners can be given the time they need to complete practice papers within reason.
Learners have access to spelling/grammar check and translation tools while submitting work remotely. What's your view on this?	Tutors must satisfy themselves of the validity and authenticity of the evidence they use to support a CAG. Evidence only has to demonstrate achievement of some assessment criteria in the subject and at the level of study being claimed, so tutors must use their discretion to decide whether there is sufficient evidence in the document to demonstrate progress towards achievement at the level being claimed.
Evidence for Speaking & Listening Assessments	
It is not customary to record practice role-plays and discussions etc. especially in community settings with limited IT facilities. We do ILPs based on S&L but these are tutor generated rather than keep recordings. What do we do? Ofqual are saying that we shouldn't subject learners to further assessment but, if we do not have audio or video recordings now, how can we meet the evidence criteria?	If there is no evidence to support a CAG then the learners should be offered a delayed assessment. If you are unable to meet the evidence requirements and would like further advice, please contact <u>qualityassurance@ascentis.co.uk</u> .

We have done assessments in class for S&L, in preparation for the exam, (not live papers) but have no audio or visual recordings and no completed practice papers. Can we use our tutor record of this to support a CAG? Alternatively, can we write tutor supporting statements to evidence this?	Tutor notes or records are acceptable as supporting evidence only and cannot be accepted on their own as evidence to support a CAG. Witness statements cannot be submitted, as they do not evidence the authenticity of the learner. We can accept an audio/video recording or a partially or fully completed practice assessment paper or a partially completed live assessment paper under the ERF.
For S&L would you accept tutor notes for a practice SL assessment as additional evidence to support some criteria that was not achieved in task 2?	Yes, tutor notes can be recorded as supporting evidence where there is a practice paper as the main evidence.
I have a few learners who have passed two of the S&L tasks but were due to resit the group task in June. How do we claim for them? Are they CAG? They are already registered.	Partial achievement of live or practice assessments can be submitted as evidence for a CAG, therefore not every claim will necessarily include evidence of achievement of the group task.
If a learner didn't achieve all the criteria in SL exam but would have done so if they had been able to complete one more task we can we submit a CAG for them based on only the assessment paper without additional evidence?	Tutors must make their judgements based on all the evidence available to them. The minimum evidence we will accept to support a tutor judgement is one item of learner generated evidence. However, where additional evidence of progress towards achievement is available to support a judgement it should also be submitted.
Speaking & Listening: Learners completed tasks 2 and 3 but did not sit the Listening task 1. As there are obviously listening elements within nearly all the speaking task criteria, can task 2 & 3 be used as evidence for the award? Or do we need to produce some additional evidence specifically related to listening?	The minimum evidence threshold is one piece of trusted evidence so we would accept the completed tasks. However, tutors need to make judgments regarding which learners would have achieved and which should remain at this level. The assessment criteria for Task 1 are different from the assessment criteria for tasks 2 and 3 so it would help them to make their decisions if there is further evidence of study towards Task 1 or they can explicitly identify where they have met some of the Task 1 criteria in their other tasks.
On the website, it says that it is possible to submit recordings during lockdown to evidence speaking. Doesn't that disadvantage those learners without IT facilities during lockdown?	No learner should be disadvantaged from achievement under the ERF. If it is not possible to provide evidence to support a CAG, the learner should be offered a delayed assessment once the Centre reopens.
Can speaking online assessments use live or practice papers?	This must be practice papers only. No live papers may be used for any purpose whatsoever after 20th March. CAGs will not be accepted if they are based on live assessments taken after 20th March.
What evidence produced after 20th March can we use to make a CAG for speaking and listening? Can you give some examples please? Can we use a 1:1 recording of the teacher and learner talking (using some of the practice tasks)?	A completed and marked practice paper. Audio or video recordings of practice paper tasks. Audio or video recordings of spoken tasks, activities or correspondence from learners that demonstrate competence of at least some assessment criteria for S&L at the level claimed. This could be for example recorded telephone conversations or videos of conversations, practice role-plays, discussions, presentations or other types of dialogue. These should be assessed by the tutor.

Are recordings of speaking activities on Teams online lessons done since 20th March acceptable if we mark them against the criteria? Could we record Google meet or Zoom sessions to show achievement in S&L? How could we test listening, other than Listen and Respond criteria?	Partial achievement of practice assessments taken after 20th March or can be submitted as evidence for a CAG, therefore not every claim will necessarily include evidence of achievement of all assessment criteria.
Where practice papers of S&L pre-20 March are used, does there need to be video/audio evidence as well? These practice papers done in class weren't recorded at our Centre.	The completed and marked practice assessment paper is sufficient evidence without an accompanying recording. The tutor must be able to make a judgement that the learner would have achieved.
Can online listening assessments be done using practice papers?	Yes
Can we now record the listening task e.g. on Zoom and submit that as evidence - either a live or a practice paper?	It is not permitted to use any live assessments after 20th March.
Evidenc	e for Reading Assessments
For reading, do the 2 tasks required need to contain all the assessment criteria for that level? Does the learner need to have achieved all the assessment criteria?	It is sufficient to evidence some of the assessment criteria. However, tutors need to make judgements regarding which learners would have achieved and which should remain at this level. It would help them to make their decisions if there is further evidence of study towards remaining assessment criteria and if there is that should be submitted as well.
Evidence	ce for Writing Assessments
Can different tasks be submitted as evidence for students within the same level/group/Centre?	Yes
Writing: Learners completed tasks 2 and 3 but did not sit the Form Filling task 1. Can task 2 & 3 be used as sufficient evidence for the award? Or do we need to produce some additional evidence specifically related to form filling?	The minimum evidence threshold is one piece of trusted evidence so we would accept the completed tasks 2 and 3. However, tutors need to make judgments regarding which learners would have achieved and which should remain at this level. The assessment criteria for Task 1 are different from the assessment criteria for tasks 2 and 3 so it would help them to make their decisions if there is further evidence of study towards Task 1 or they can explicitly identify where they have met some of the Task 1 criteria in their other tasks (for example, writing an address correctly in a formal letter, punctuating names correctly or writing in appropriate sentences).
For a Writing Award, where it states 'paper based or electronic' does this mean learner can 'type' as task and tutor can submit this as evidence? Can written tasks typed online be accepted? Can electronic based writing tasks completed after 20th March be accepted?	Writing tasks, exercises, coursework or correspondence can be hand written or typed electronically. The tutor should be satisfied they are the learner's own original and unaided work and there will need to be a statement by the learner or tutor to authenticate this. The work must be at the appropriate level of study and marked by the tutor.

Evidence for Full Certificates	
	Where one unit or Award has been completed it is acceptable to provide a calculated result for the two other units or Awards, provided there is sufficient evidence to support each Unit or Awards' CAG assessment independently.
Some learners registered for the Certificate have only completed one Unit, so we only have full exam evidence for one unit only. Can we provide a	In this circumstance, when judging evidence tutors should bear in mind that at least 50% of the course of study should have been completed to allow the Centre to reach a CAG for the full Certificate or for all 3 Awards.
calculated result for both of the other units for them to achieve the certificate? What if no Units or Awards have been completed? Can a CAG be made for all three units of a full Certificate or for all three Awards for one learner?	In this circumstance, the tutor will have to make a careful assessment of all the evidence, including the length of study and amount of work completed. For example, if the student completed two terms of study before March 20th but was intended to take all the final assessments in the summer term, then more than 50% of the course was completed and there will be sufficient evidence to prove that in this case a CAG would be appropriate. However, for short courses where less than 50% of study was completed it is unlikely that a tutor would be able to make a convincing judgement and delay of assessment should be considered.
Authentication	on of learners own unaided work
What do you need as validation from students that this is their own unaided work?	For coursework produced before 20th March or all evidence produced after 20th March, you need to have a simple statement from either the learner or tutor to verify that it is their own unaided work. The tutor should refer to how you authenticated the work in the tutor corroborative statement. If you are requested to provide sample evidence for EQA purposes, you must provide the authentication statement along with the evidence.
How about if student writes and signs a declaration and sends a photo? Will an email or screenshot of a text message from a learner verifying a piece of work as theirs be acceptable?	Yes
What if we cannot get hold of the learner to verify the work we have is their own unaided work?	The tutor can make the statement on the learner's behalf.
Are there any forms / templates for tutors to use when recording evidence or where learners need to confirm the work is their own?	There is a set of useful exemplar assessment record forms in the login area of the website, under 'Resources'. They are in the Policies and Key Documents part. <u>https://www.ascentis.co.uk/user-resources/policies-and-key-</u> documents
Tutor	
	Corroborative statements
With 250 learners, do we need a statement for each? Are you asking for a single statement for each individual learner's evidence - or a statement for each piece of evidence?	Yes - all CAGs are individual and each one has to be valid and authentic. Each learner's statement must be written by the tutor who personally knows the learner and has reviewed all the evidence before making a judgement.
Is there a specific template or form we have to use for the tutor corroborative statement for achievement?	You can use any format agreed by your Centre.

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Can you provide an exemplar of tutor statement?	This will vary between learners according to their levels, length of study, amount of progress etc. The statement should corroborate the progress the learner has made or would have made and describe all the evidence used by the tutor to make a judgement, including supporting evidence that is not described on the CAG form. It should describe how evidence was authenticated. It should also describe any reasonable adjustments made for the learner, and special considerations.
Internal Quality A	Assurance/Standardisation for CAGs
Does evidence produced after March 20th need to be marked?	All evidence should be marked by the tutor if it is used to support a judgement in respect of a CAG.
For IQA, what %age would you expect for sampling of all evidence generated for the CAGs. I understand that you require the ERF IQA/Standardisation Record (appendix ii) to be completed but I'm not sure whether we are just describing our method of standardisation method or are actually sampling 10% too?	The usual IQA process does not apply under the ERF and we do not require any specific percentage of assessments to be Internally Quality Assured. However, we do expect your tutors to standardise their judgements before submitting claims for CAGs and we require you to explain how you have done that and who was involved on the standardisation record.
Many of our learners have only one teacher, how can we standardise for these?	The declaration that accompanies the CAG is your Centre's way of indicating that the work is of the correct level and meets the assessment criteria. The evidence used to support a CAG must be checked by a qualified member of staff in addition to the tutor that it meets the requirements of authenticated, trusted evidence.
IQA/Standardisation Record - there is a section that asks us to specify risks. Would you mind giving us a few examples?	Your Centre may have staffing issues or time constraints, for example.
Can standardisation be done electronically or via photos of work, as we are short of time?	This may be appropriate. You need to describe how you do it on the Standardisation Record.
	CAG Submissions
I have classes that are already registered made up of a mixture of claims i.e. some learners have completed exams and will be claimed normally with a postal EQA verification, others we may claim with a CAG. When we make claims in the normal way, once my Exams Dept. has put in the claim and uploaded the ERAC, the class becomes locked pending EQA verification. Will this happen now and will it affect any claims made under the ERF?	If learners have completed their qualification and are not being claimed for via the ERF, then their results should be submitted to QuartzWeb and then you should liaise with your EQA about postal verification. For claims being made under the ERF, the Centre should download a new E-Results (ERAC) matrix and complete this for the learners who are being claimed for through the ERF (as they have not completed the full qualification and they are completing a CAG). Then once these results have been submitted to QuartzWeb, the Centre must send the appropriate documentation to <u>qualityassurance@ascentis.co.uk</u> as identified in our guidance document. You can make multiple claims for the same class concurrently. Given the ERF timescales it is advisable to submit the CAG information first in order to meet deadlines for the ERF, and then arrange for postal verification of already completed components (under the normal framework) later. There is no deadline for the verification of assessments taken before March 20th under the normal framework and these will continue to be verified on request.

Are CAGs submitted via normal RACS on Quartzweb? Do we also submit the e- results mark sheet as well as the forms?	Yes. Please upload your results as you normally would through QuartzWeb, promptly after submitting the ERF forms via email. (See page 6 Centre Assessment Grade - Guidance on Completing Records Forms). A QA check takes place before the results are released.
If insufficient evidence do we submit as a failed CAG or not include at all?	CAGs are only for claiming achievement. If there is insufficient evidence, you should offer the learner a delayed assessment instead.
Do tutors need to write their name on the CAG form as not all learners on a class ID necessarily have the same tutor?	The CAG form is generated from the registrations made on QuartzWeb so the details on the form reflect what information was uploaded with the registration. The requirement is that the tutor/assessor for the learner completes the form detailing the evidence that is being used. Where there is more than one tutor involved, this can be done collaboratively. The name of the tutor/assessor is not put on the form (see page 3 Centre Assessment Grade Guidance on Completing Record Form).
The form that the head of Centre signs, does that have everybody on it? All levels and all learners on the one form? If a Centre has more than 1 site, do all the sites need to collate all the evidence before sending it off?	Yes. The form is per qualification area. The declaration is on behalf of the Centre (by qual area).
Learner evidence will not be annotated individually, but we will submit a grade sheet for each group that indicates the criteria we have awarded. Is this acceptable?	No. Ofqual require CAG submissions to have an individual grade for each learner.
Are there templates for the Head of Centre declarations?	The Head of Centre declaration is available online. Other evidence from tutors etc. can be provided on Centre forms or in your own format.
Can you provide example of how we should present evidence re CAG?	Please refer to page 4 Centre Assessment Grade Guidance on Completing Record Forms.
When we submit the CAG, what do we do with the evidence?	You retain the original evidence. When you submit the results and the declaration by Head of Centre, you will describe the evidence you have used to make your judgement.
Are you planning to issue any information for learners re ERF?	No. Ofqual has produced guidance for learners. We would expect Centres/tutors to provide information in a format that is accessible to the learners' level.
E-certificates - when and how will be sent?	E-Certificates will be available for you to download and provide to learners once your submission has been processed.
ERF form - are you planning to do an example that would be ESOL specific?	No.
Borderline - should be noted on ERF form? Please confirm.	This is not required.

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The CAG process for ESOL will this be the same or similar for Extended Awards maths and English?	The mitigation for these qualifications is also 'calculate.'
External Quality Assurance for CAG Submissions	
What are the External Quality Assurance arrangements for claims made by CAG under the ERF? What should we expect?	EQA sampling will not be required of every Centre prior to results being issued under the ERF and will be done on a targeted, risk management basis after the submission of CAGs. Any sample requested will be small but we are not setting percentages. Should we select a particular learner in your Centre for EQA sampling, we expect you to submit 100% of the original evidence described in the CAG submission.
At what point are we submitting evidence and how? Will evidence be requested over this summer, before the 31st July deadline?	If any of your learners are selected for EQA sampling, you will have to send evidence to an EQA for postal verification This can be by post or by electronic means. This will be after your Centre submissions have been reviewed. Not all Centres will be selected for pre-award QA. Some will be post-award verification. All Centres must keep their evidence for 12 months and be able to provide a sample to their EQA for review at the next EQA Centre visit.
Do we need to keep original evidence of all work submitted or just the scores? Some learners have taken their practice papers away and we no longer have them in Centre.	We expect tutors to make their CAG judgements based on all the evidence they have available to them. If a learner is selected for EQA sampling then you will have to provide the original evidence of all work recorded as part of the learner's CAG submission. It is acceptable to submit photographs, scans or photocopies of practice papers if the original document is not in the tutors' possession, but the tutor must be satisfied that the image is
What will happen if the EQA disagrees with evidence you have for the learners	original, unedited and genuine. Awarding Organisations are obligated under the ERF to contact Centres if there is a disagreement about sufficiency of
after they have been given their results?	evidence for a CAG.
	elayed assessments
How long can achievement be delayed?	The regulators have stated that assessments must take place before the end of the autumn term.
If a learner disputes their calculated result, can they sit a delayed, controlled assessment later in the summer?	If a learner is awarded a qualification based on a CAG there is no right of appeal and they cannot take the assessment later. If a CAG is not submitted for a learner, they can take a delayed assessment later.
Is the 'delay' mitigation ok for just some learners, e.g. where they are considered borderline or where there is insufficient evidence, or does a full cohort have to be treated the same?	CAGs are determined for individual learners, where appropriate. Where there is insufficient evidence or the tutor decides not to claim a CAG the learner must be permitted to take the assessment in the Centre when it is safe to do so.
Miscellaneous	
Will Ascenits offer online live assessments in 20/21?	We are currently investigating this option.
Will this audio webinar be available on Ascentis website?	No, but copies of the Webinar slides have been sent to all attendees.