

## Extraordinary Regulatory Framework Policy for Calculating Results and Adapting Assessments

### 1.0 Policy introduction

COVID-19 restrictions have led to the cancellation of exams and prevented many assessments from being taken as planned this summer.

Ofqual have designed an approach that ensures, as far as possible, that learners receive results to enable them to progress to the next stage of their lives without further disruption.

In early April, Ofqual opened a consultation on its *Extraordinary Regulatory Framework*, asking awarding organisations to compile a list of qualifications available for public funding that fell into one of three categories, which were:

- where the primary use is to progress to FE/HE
- where there is a mixed use to progress to FE, HE or employment
- where the primary use is to provide a License to Practise/access to a profession or certificate of occupational competency.

Ofqual also asked awarding organisations to put forward their mitigation approach for each qualification, i.e. how they plan to support learners and centres with getting final results. The options were to:

- safely estimate or calculate results to issue to students
- adapt assessments so that they can be taken in different contexts but still safely and validly measuring the same skills, knowledge and understanding
- delay/reschedule (only used as a last resort).

As a result of the consultation, ESB International will be calculating results for the following qualifications:

- All ESOL Skills for Life qualifications
- ESB Entry Level Award in Communicating with Art/ Drama/ Music/ Others (Entry 1)
- ESB Entry Level Award in Developing Independent Communication Skills (Entry 1)
- ESB Entry Level Award in Developing Oral Interview Skills (Entry 2)
- ESB Entry Level Award in First Steps in Communicating with Others (Entry 1)
- ESB Entry Level Award in Independent Communication Skills (Entry 1)
- ESB Entry Level Award in Inspiring Confidence in Employability (Entry 1, 2 and 3)
- ESB Entry Level Award in Introducing Oral Skills for Interviews (Entry 1)
- ESB Entry Level Award in Oral Communication in the Community (Entry 2)
- ESB Entry Level Award in Oral Communication with Others (Entry 1)
- ESB Entry Level Award in Oral Interview Skills (Entry 3)
- ESB Entry Level Award in Preparing for Performing Within a Team (Entry 2)
- ESB Entry Level Award in Reading to a Child (Entry 3)

As a result of the consultation, ESB International will be offering an adapted assessment for the following qualifications:

- ESB Level 1 Award in Speech (Grades 1, 2, 3)
- ESB Level 2 Certificate in Speech (Grades 4, 5)
- ESB Level 3 Certificate in Speech (Grade 6, 8)
- ESB Level 3 Award in Travel and Tourism Oral Communication Skills for Overseas Resort Representatives
- ESB Level 4 Award in Professional Presentation Skills
- ESB Level 1, 2, 3 Awards in Using Oral Skills for Interviews
- ESB Entry Level Award in Graded Examinations in Speech (Entry 1, 2, 3) (EAL-A1, A2, B1)
- ESB Level 1, 2, 3 Awards in Debating
- ESB Level 1 Award in Group Speaking
- ESB Level 1 Award in Oral Skills for School Interviews

### **1.1 Purpose of the policy**

The purpose of this policy is to outline how ESB International will manage the process of calculating results and adapted assessments in line with Ofqual's Extraordinary Regulatory Framework, including the strategy for quality assurance.

### **1.2 ESB International's responsibilities in managing the process of calculating results and adapted assessments**

ESB are regulated by the following regulators: Ofqual (England), CCEA Regulation (Northern Ireland) and Qualifications Wales (Wales). ESB are committed to complying with the regulatory requirements in line with:

- Ofqual and CCEA's General Conditions of Recognition
- Qualification Wales Standards Conditions of Recognition
- Ofqual's Extraordinary Regulatory Framework: Vocational and Technical Qualifications, COVID-19 Conditions and Requirements.

### **1.3 Calculating results**

Ofqual have clearly set out the aims of providing calculated results, which are as follows:

1. To provide learners with the results that they would have most likely have achieved had they been able to take their assessments in summer 2020.
2. To enable the maximum possible number of learners to receive results based on a principled evidence-based approach, such that in similar situations, similar approaches to calculated results would be used.
3. To protect, as far as is possible, learners from being systematically advantaged or disadvantaged, notwithstanding their socio-economic background or whether they have a protected characteristic.
4. For the methods to be sufficiently transparent and easy to explain to promote confidence.
5. To be deliverable by awarding organisations with sufficient oversight from Ofqual.

### 1.3.1 Decisions on types and strength of evidence available and potentially available

To ensure calculated results are as fair, valid and reliable as possible, ESB International have held internal discussions with key team members, discussions with SEND and ESOL Skills for Life centres and been part of an Ofqual-coordinated ESOL Skills for Life Extraordinary Working Group and a Federation of Awarding Bodies (FAB) working group. Following these discussions, ESB have agreed on the following guidance when requesting supporting evidence for calculated results:

The strength of evidence has been split into three groups, with group A being the strongest and the strength of evidence lessening from group B through to group C.

#### A) Skills for Life

A minimum of one piece of evidence must come from group A and at least one additional piece of evidence from either group A or group B. Evidence from Group C may be put forward to support the calculation, however it will not be considered without evidence from groups A and B.

Examples of accepted evidence groupings:

- Mock exam results and teacher profiles of individual learners (1 x A and 1 x B)
- Class work/homework, predicted results and lesson observations (1 x A, 1 x B and 1 x C)
- Mock exam results and individual learning plan (2 x A)

| Group A  | Group B   | Group C   |
|--|---|---|
| <ul style="list-style-type: none"> <li>• Mock exam results*</li> <li>• Evidence from formative assessments, e.g. completed assessment checklists and teacher feedback</li> <li>• Individual Learning Plans</li> <li>• Class work/homework</li> </ul> | <ul style="list-style-type: none"> <li>• Previous achievement of Skills for Life Awards by the learner</li> <li>• Predicted results</li> <li>• Teacher profiles of individual learners</li> <li>• Initial assessments and diagnostic assessments</li> </ul> | <ul style="list-style-type: none"> <li>• Lesson observations</li> <li>• Schemes of work/lesson plans</li> </ul> |

\*Mock exam results: this may be a past or sample paper from ESB or another ESOL Skills for Life Awarding Organisation, as agreed by all AOs attending the ESOL Skills for Life Extraordinary Working Group.

#### B) Qualifications for learners with special educational needs and disabilities

A minimum of one piece of evidence must come from group A or a minimum of two pieces of evidence from group B. Evidence from Group C may be put forward to support the calculation, however it will not be considered without evidence from groups A and/or B.

| Group A   | Group B  | Group C  |
|---|--|--|
| <ul style="list-style-type: none"> <li>• Mock exam results</li> <li>• Evidence from formative assessments, e.g. completed assessment checklists and teacher feedback</li> <li>• Individual Learning Plans/ progress trackers</li> <li>• Class work/homework or examples of student engagement documented by teachers</li> </ul> | <ul style="list-style-type: none"> <li>• Previous achievement of ESB Awards by the learner</li> <li>• Portfolios</li> <li>• Teacher profiles of individual learners</li> <li>• Initial assessments and diagnostic assessments</li> <li>• Evidence of attendance and guided learning hours</li> <li>• Tutor records of curriculum delivery</li> </ul> | <ul style="list-style-type: none"> <li>• Lesson observations</li> <li>• Schemes of work/lesson plans</li> <li>•</li> </ul> |

Examples of accepted evidence groupings:

- Mock exam results (1 x A)
- Teacher profiles of individual learners, portfolios and lesson observations (2 x B and 1 x C)

Note – Evidence that has been acquired following the closure of schools on 20<sup>th</sup> March, through distance learning or other means, will be considered. However, centres must ensure any such work can be authenticated and considered in a consistent manner that improves rather than compromises wider validity, comparability and fairness of judgements. Where additional work has been completed after 20 March, centres should exercise caution where that evidence suggests a change in performance. In many cases this is likely to reflect the circumstances and context in which the work is done.

ESB International has made it clear in the centre guidance that, if the centre does not have sufficient evidence upon which to base a centre assessment result, the centre should not provide a centre assessment result.

### GDPR and data retention

To ensure ESB International remain consistent with GDPR and effectively manage the security of personal data, all submissions will be sent to a departmental inbox – [product@esbuk.org](mailto:product@esbuk.org) – and must be via Wetransfer, not attachments to an email.

### 1.3.2 Quality assurance of calculated results

Once ESB International is in receipt of a cohort of calculated results for learners, it will carry out appropriate quality assurance activities, as required to ensure it complies with the principles set out in Ofqual’s Extraordinary Regulatory Framework.

This will **always** involve:

- A comparison of centre performance with the same period in previous years.

This **may** involve:

- a request from the centre to justify any changes in performance or discrepancies and/or
- a request for a sample of the evidence identified to calculate results.

### **Sampling strategy**

ESB International will apply a risk-based approach to quality assurance sampling of calculated results.

The process for sampling is as follows:

- All cohorts will have their performance checked against previous performance\*
- If there is a +/-10% discrepancy, the centre will be asked to provide a reason for the discrepancy, e.g. cohort differentials when compared with previous years, poor attendance, etc.\*\*
- ESB International will then decide if this reason, along with the risk rating is sufficient enough to process the learners' results
- If there is any element of doubt, ESB International will request a sample of the evidence the centre identified in their submitted spreadsheet.

\*Any new centres will automatically have their evidence requested, as described below.

\*\*Any centres with a high risk profile will automatically have their evidence requested, as described below.

ESB International may consider the evidence submitted for individual learners, or a group of learners as not strong enough to provide a trusted calculated result.

Where this occurs, ESB International will take one of the following steps:

- Request to the centre for further evidence to support their judgement
- Rejection of the calculated result.  
Note – In situations where ESB International does not consider the evidence to meet the minimum evidential threshold set out above, feedback will be provided to the centre with an explanation for the outcome and a record kept for audit.

In addition to the above, ESB International will apply a random sampling strategy for centres whose performance does fall into the +/-10% of previous performance: The evidence will be requested for every tenth centre submission.

In addition to evidence made available by the centre, ESB may also check the authenticity of non-registered learners for the centres whose cohort numbers differ substantially from previous years.

## The decision-making process

For the first ten calculated results submissions, the decision making will always be an agreement between two or more team members of ESB International, at least one of which will be a senior team member. This will ensure a standardized and consistent approach.

All subsequent submissions will be reviewed and signed-off by a senior team member, once a decision has been made.

## 1.4 Adapted assessments

ESB International have a range of Speech qualifications, which have the mitigation of adapted assessment. These assessments involve observing communicationskills, for example, speaking and listening.

### 1.4.1 Decisions on adapted assessment options

To be able to ensure adapted assessments are as fair, valid and reliable as possible, ESB have held internal discussions with key team members and externally with Speech centres. Following these discussions, ESB have agreed on the following options for adapted assessment:

- **Option 1** – Synchronous assessment via video conferencing. This is an online live remote assessment. In this option, an assessor reviews a learner’s performance in real-time.
- **Option 2** – Asynchronous assessment, in which the centre films a learner’s assessment in a classroom. This could be for a situation when teachers and the learners can be at school together, but an external assessor is not permitted to come in. Videos are then submitted to ESB International for marking.
- **Option 3** – Asynchronous assessment for learners who are based at home. In this option, a parent or guardian would film a learner’s assessment. The centre would collect all videos and then submit to ESB International for marking.

## Calculating a grade for the interactive stage of the assessment

Option 3 includes a calculated component for the interactive part of the assessment when learners are expected to demonstrate their listening skills. Teachers estimate a grade for each learner, and complete the **Graded Exams in Speech Calculated Grade Template** or **Other Speech Calculated Grade Template** which is downloadable from the ESB International website. The calculated grade is weighted at 20% of the overall grade and may be checked as part of the quality assurance process.

The calculated grade should be based on the teacher’s judgement of the learner’s speaking and listening abilities, had teaching and learning continued until the time of assessment, using the Section 4 grading criteria of that qualification as a guideline. Evidence for the calculated grade can be based on:

- progress in the teaching and learning of this ESB Speech qualification
- previous classroom performance
- lesson plans and observations
- an assessment of the competency of a learner in relation to Key Stage requirements in Spoken Language/Spoken English practice assessments.

### 1.4.2 Quality assurance of adapted assessments

ESB International's approach to moderation for adapted Speech assessments will be the same as it is for normal Speech assessments.

This is as follows:

- Moderation of 10% of all adapted assessment submissions
- Always moderate any new assessors
- Always moderate any yellow-flagged assessors.

Quality assurance and sampling of adapted assessment that include a calculated component will be carried out by the assessor, who is contracted by ESB International as part of the external assessment process. If the assessor finds a discrepancy with the CAG, e.g. it raises the overall grade by more than one grade, he/she refers this to the product team who will follow-up with the centre.

### 1.4.3 Guidance to centres for adapted assessments

ESB International have developed and published the following guidance for centres to support them and their learners in preparing for adapted assessments.

#### **Consent and verification (asynchronous).**

Prior to the assessment, the parent/guardian of any children involved in a recording must complete an ESB International consent form, **Permission form for adapted speech assessments 2020**. The centre keeps the consent form but must be able to show it to ESB International if requested. In addition, the centre is required to complete and submit an authenticity form on behalf of their learners, **Identity verification form for adapted speech assessments 2020**.

#### **Key considerations when recording learners for adapted assessments**

- Filming can be done using a good quality smartphone or tablet, or any good quality audio-visual recording device (e.g. digital video cameras, laptops) which will allow the assessor to accurately complete the assessment.
- The use of a tripod is recommended to improve camera stability. If you do not have access to a tripod, the device should be placed on a steady surface and kept still for the duration of the assessment.
- The camera is well-positioned in the room and eye-level to a learner. A learner should be in the centre of the screen and an assessor should be able to see their head and upper body.
- If filming on a smartphone or tablet, we advise that the device is switched to airplane mode, to avoid unnecessary notifications or calls interfering with the recording of the session.
- Please lower the video recording quality before you begin to record by turning HD off if possible. Most recording devices including phones and tablets have an option to change the quality of the recording in their settings. This won't affect the examiner's ability to assess the session, but will make the delivery and storage of the files much easier. The last page of this document contains example phone settings.
- A learner must remain in camera shot at all times during their assessment for Sections 1, 2 and 3. During the interactive phase of the assessment (Section 4), the camera can turn to a participant who is asking a question.

- The learner/s must be heard at all times.
- The camera person should remain silent at all times.
- A learner's assessment must be filmed in one continuous take. If a learner makes a mistake or if there is an unexpected distraction, please carry on. We will not accept multiple or edited pieces of footage.

### Minimum footage standards

Digitally recorded assessments must meet the standards of validity, authenticity and reliability, required of all assessment methods. If a digitally recorded assessment does not meet these standards, it will not be assessed and a result will not be issued. It is the responsibility of the centre to ensure that an assessor can clearly see and hear the assessment of learners. All digital recordings must:

- be completed on devices that allow a digital time and date stamp
- begin with a verbal confirmation of the learner's name stated clearly at the start of the recording
- be continuous
- ensure the audio and visual portions of the recording are synchronised to enable authentication of the audio information relayed during the assessment
- be recorded in an appropriate environment.

Reasons for recorded assessment rejections include (but are not limited to):

- lack of evidence of authentication or informed consent
- any evidence of unnecessary pausing or editing during the assessment;
- the learner/s are out of camera shot; **and**
- it is not possible to hear the learner/s clearly.

### Protection and management of personal data

All video recordings will be uploaded to a shared area in ESB International's internal folders, which will only be accessible by the teacher responsible for uploading them, and the assessors and moderators who are working on those submissions. All recordings will be destroyed once they are no longer required for quality assurance purposes.

The teacher, parent or guardian responsible for the digital recording must read and sign the consent form **Permission form for adapted speech assessments 2020** which explains the reason for video recording, the intended uses of the video, that it may be viewed by a number of appropriate parties (including assessors and moderators of ESB International) and the length of time it will be stored before being deleted. This requirement falls under the General Data Protection Regulations for the protection of personal data.

| Revision No | Change to previous release | Reason for change |
|-------------|----------------------------|-------------------|
| 1           | New release                | N/A               |
|             |                            |                   |