Handbook

CII Centres and Centre Devised Assessments

Contents

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Glossary of Terms

AC Assessment Criteria: Assessment criteria Identify how in an assessment the learner will demonstrate that they know something/understand something/ can do something. E.g. To demonstrate a knowledge of insurance law, the learner will be required to identify relevant insurance law.

Assessment Team: The team consisting of anyone involved with the centre and centre devised assessment.

Assessor/Senior: Any subject matter expert ultimately responsible for subject matter and assessment related judgements for a CDA.

AO Awarding organisation: The CII.

Centre Devised Assessment (CDA): An assessment devised by a centre to take the place of an assessment offered by the AO.:

CDA Centre Devised Assessment: Any assessment devised by a centre to take the place of an assessment offered by the CII and to count towards a CII qualification

Demand: For practical purposes, demand can be considered as the level of difficulty encountered by the same, minimally but sufficiently prepared and competent candidate, all things other than the test being equal considered, when taking different administrations of tests or test forms.

EQA External quality assurance: The quality assurance taken by the Awarding organisation (AO), the CII.

External Quality Assurance (EQA) process: The processes by which the AO checks the IQA findings to ensure assessments are being created and delivered to the AO standards.

External Quality Assurer: The person appointed by the AO to check the IQA findings to ensure assessments are being created and delivered to the AO standards.

(Human) Marker: Any subject matter expert undertaking human marking (if applicable) for the CDA

Internal Quality Assurance (IQA) process: The process undertaken by the centre to ensure assessments are created and delivered to the AO standards.

Invigilator: Any person appointed by the Head of Centre to be responsible for the conduct and integrity of assessments and for ensuring candidates fully comply with the assessment rules and instructions.

IQA Internal Quality Assurance (process): The quality assurance undertaken by the centre's internal quality assurer.

LO Learning Outcome: What the learner should be able to do at the end of a programme of learning.

Malpractice and maladministration: (Qualification Wales, 2020, pp. 2-3).

"Malpractice and maladministration encompass a wide range of matters, from dishonest acts affecting the validity of an assessment, such as cheating, to unintentional breaches of regulatory requirements, for example, as a result of inattention, inexperience, or poor organisational practices.

'Malpractice and maladministration' generally refers to any act, or failure to act, which may compromise the validity of an assessment, qualification or certificate, or damage the authority, reputation or credibility of an awarding body or centre, or cause some other kind of related harm. Malpractice and maladministration may be intentional or inadvertent. The key consideration is whether there has been some sort of wrongdoing or misbehaviour".

Reasonable Adjustment- Ofqual definition of Reasonable Adjustment (Ofqual Handbook, J1.8 Definitions, November 2020)

An adjustment made to an assessment or a qualification to allow a disabled learner to demonstrate his or her knowledge, skills and understanding to the levels of attainment required by the specification for that qualification.

Required role: Assessment officer: The person appointed by the Head of Centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the creation and administration of CDAs. The Assessment officer is responsible for all aspects of the assessment including the assessment team and quality assurance processes. The Head of Centre may not appoint themselves as the Assessment officer. A Head of Centre and an Assessment officer are two distinct and separate roles.

Required role: Head of Centre (HoC): The individual who is accountable to the AO for ensuring that the centre is always compliant with the AO standards in order to ensure the security and integrity of the assessments.

Required role: Internal Quality Assurer: The person appointed by the centre to verify assessments are created and delivered to the AO standards. This role should not be directly involved in the production or administration of the CDA and should be appointed by (and a different person to) the Head of Centre and the Assessment Officer.

Special Consideration Definition of Special Consideration (Ofqual Handbook, J1.8 Definitions, November 2020)

The term "Special Consideration" is a temporary experience that prevents the learner from being able to demonstrate his or her full capability in an assessment.

Subject matter expert: A person with expertise in the subject matter being assessed who is part of the Assessment Team.

Team Leader: Any subject matter expert overseeing a group of (human) markers (if applicable) for the CDA where the number of markers requires one.

Writer(s): Any subject matter expert authoring or editing CDA materials (e.g. items, marking schemes, marking criteria, test specifications etc)

Feedback to CII on the CCAA scheme

The CII welcomes feedback on the CCAA scheme. We would like to work with centres to make this process as efficient as possible. Feedback on any aspect of the scheme can be sent to ccaa@cii.co.uk.

Centre Guidance for Centre Approval & Monitoring

Introduction & background information:

In 2021 Ofqual, CCEA and Qualifications Wales, introduced conditions and guidance to strengthen the controls Awarding Organisations (AOs) have in place to manage their centres. The aim is to ensure that AOs put in place appropriate controls where they allow their centres to create and mark assessments on their behalf. These conditions that apply to the management of centres can be found in the Ofqual Handbook, sections C '*arrangements with centres*' & H '*centre assessment standard scrutiny (CASS) where an assessment is marked by a centre*' https://www.gov.uk/guidance/ofqual-handbook and in the handbooks of the other regulators.

This booklet aims to clearly set out what the Chartered Insurance Institute (CII), the AO, requires organisations previously accredited under the 'Prior Learning Accreditation' scheme (centres) to do under these newly introduced CASS Rules and to provide appropriate support and guidance.

Definitions

Term	Organisation	Definition
Centre	*Example insurance company ltd*	A company, whose training programme and assessment is recognised in the Chartered Insurance Institute qualification framework.
Awarding Organisation (AO)	The Chartered Insurance institute (CII)	An organisation that designs, develops, delivers and awards the recognition of learning outcomes (knowledge, skills and/or competences) of an individual following an assessment and quality assurance process that is valued by employers, learners or stakeholders. (Federation of Awarding Bodies https://awarding.org.uk/policy-lab/about-the-industry/about-awarding-bodies/)

Please see full glossary at the end of this document

Centre Approval Standards

Section 1: Governance

Approval Standard 1	Governance	Comments from CII (blank = no evidence / insufficient evidence)
	The centre, in line with AO standards.	
1.1	has, in relation to its interactions with the AO and in relation to any potential centre devised assessments, a robust and clearly defined management structure.	
1.2	has robust governance arrangements.	

1.3	is securely funded.	
1.4	keeps appropriate staff records.	
1.5	has appropriate arrangements in place with third party providers.	
1.6	has a conflict-of-interest policy and contract clauses.	
1.7	has a procedure and policy for maladministration and malpractice.	
1.8	has a risk assessment process and related contingency planning.	
1.9	has Reasonable Adjustments policy and procedures.	
1.10	has Special Consideration policy and procedures.	
1.11	has appropriate assessment administration and invigilation procedures.	
1.12	has a policy and procedures for complaints and post-results services, including appeals.	
1.13	has a health and safety policy in place.	
1.14	has an equal opportunities policy in place.	

It is expected that centres applying for Centre Approval will have documentary evidence covering all the areas listed in section 1 below. It is the centre's responsibility to ensure that:

- policies and procedures are appropriate to the size of the centre and curriculum offered by the centre.
- policies and procedures are communicated to all staff and supported by the centre management structure.
- a system is in place for regular review and evaluation of centre policies and procedures.
- any changes to policies and procedures are communicated to the AO as soon as possible.
- policies comply with the AO standards.

1.1. Procedures for managing all aspects of the centre and centre devised assessments

All centres should have appropriate management resources in place to support the centre and centre devised assessments. A diagram or list showing the management structure, illustrating duties and clear lines of accountability must be included in these procedures, together with the name of the person responsible for each function and their job title. Any changes in the staff members or any changes of provision should be communicated to the AO.

Centre Action: Provide documentation and any updates to centre and CDA management structure.

1.2 Governance

Provide an organisation chart, or similar, to show how the centre is governed.

Centre Action: Provide documentation and any updates to centre governance.

1.3 Funding

A commitment to fund the assessment and any related scheme for the duration of the contract with the AO and to ensure any learners who have commenced studies are able to complete the assessment.

Centre Action: Provide commitment in writing.

1.4 Appropriate staff records for those staff involved with the centre and centre devised assessment

Keep, for a period compliant with all relevant data protection legislation:

- appropriate records to indicate that the staff working in the centre and on the centre devised assessments are those of whom the AO has been made aware.
- evidence of any training, monitoring, appraisals etc in relation to these roles.

A sample of these records should be provided to the AO on request and any additions or changes to these records should be reported to the AO as soon as possible.

Centre Action: Keep and provide on request centre and CDA staff records

1.5 Procedures for appropriate arrangements with third parties to deliver assessments

The centre must have appropriate arrangements and written agreements in place to manage third parties' roles in relation to the delivery of CDAs, for example, examiners, printers, IT Providers. The centre should also provide, on request, copies of the written agreements with these providers to the AO. The agreement should cover but not be limited to, where appropriate, confidentiality and dealing with confidential assessment materials.

Partnerships

If the centre is in partnership with any other organisation for any part of the delivery of the CDA, the details of the partner and the agreement with it should be documented, with a written agreement between the two parties. The agreement should cover, but not be limited to, roles, responsibilities, the accountabilities of each partner, confidentiality and dealing with confidential assessment materials.

Centre Action: Keep and provide on request agreements

1.6 Conflicts of interest policy (COI) and contract clauses

Definition

'A conflict of interest exists when an organisation or an individual has competing interests, which might impair its or their ability to make objective, unbiased decisions' (Ofqual Handbook, guidance on COI, Section A).

Examples of COI (not an exclusive list):
- *A staff member works at the centre and a member of their family undertakes an assessment in that centre*

> - *A staff member involved in the delivery or marking of the assessment has a family connection with a registered learner*
> - *The staff member at the centre who is teaching the assessment is also the invigilator*
> - *The Assessor is also the owner & the Head of Centre (HoC)*
> - *The staff member marking the assessment internally is also a panel member of an appeal process for the same candidate*

The centre should have in place procedures to show how potential conflicts of interest are managed and how the assessment process is protected. The policy must clearly state how the centre identifies and deals with potential conflicts of interest, what constitutes conflicts of interest, when this should be declared and recorded and who is the process owner. The policy must be regularly reviewed and updated to reflect any staff role changes within the centre (for example - examiner or invigilator) that could suggest a potential conflict of interest. The centre should include a clause on COI obligations to the contracts of anyone involved with the CDA.

Centre Action: Create and provide on request a conflict-of-interest policy. Have a COI clause in contracts of anyone involved with the CDA or centre.

1.7 Procedures and policy for dealing with & reporting malpractice & maladministration

- Centres are required to have robust procedures in place for preventing and investigating incidents of malpractice or maladministration. These should cover malpractice and maladministration by staff, learners and any third-party suppliers. The policy standards for dealing with malpractice and maladministration required by the AO are in the policies and procedures section below.
- Learners should be made aware of the **Malpractice & Assessment Requirements Policy for learners** and that by participating in the assessment they are bound by the assessment rules and the Malpractice and Assessment Requirements policy.

1.8 Risk assessment policy and contingency plan procedures for major incidents

All centres should have a process for identifying and rating risks in relation to their activities as a centre and contingency procedures in place to deal with major incidents arising in relation to the creation, delivery and resulting of an assessment. Examples of such incidents are assessment evidence being lost or disruption during an assessment sitting, unavailability of an assessment venue on the day of an assessment.

Centre Action: Create and provide on request a contingency plan

1.9 & 1.10 Procedures and policies for Reasonable Adjustments & Special Consideration

The centre should have a procedure and policy for Reasonable Adjustments & Special Considerations. The policy must be communicated to candidates. The policies and procedures must be in line with the AO standards here. Any incident where learners may have been disadvantaged should be reported to the AO.

Centre Action: Create and provide on request a Reasonable Adjustment and Special Consideration procedures and policy

1.11 Procedures for the administration and invigilation of assessments

The centre must have a procedure in place for the administration of assessments and their invigilation, where appropriate. The administration of assessments and invigilation standards required by the AO can be found here.

Centre Action: Create and provide on request procedures for the administration and invigilation of assessments

1.12 Procedures and policies for complaints and post-results services, including appeals
The centre must have complaints and appeals procedures and policies in place. These policies must be accessible to the learners. It is the centre's responsibility to ensure that learners are aware of the centre's complaints and appeals policies. If a Learner has a complaint and/or appeal, they must follow their centre's own complaints and appeals procedures in the first instance. After all centre procedures have been exhausted, if they are not satisfied with the outcome of the internal process, they can refer to the AO's Appeals Policy which can be found here.

Centre Action: Create and provide on request a complaints, post results services and appeals procedures and policies

1.13 Procedures and policies for health and safety
The centre must ensure that all current legal requirements concerning health and safety, including the relevant insurance cover, are adhered to at all times.

Centre Action: **Have a policy to adhere to all legal requirements concerning health and safety at all times**

1.14 Equal opportunities policy
The centre must have an equal opportunities policy including policies to ensure inclusivity and diversity.

Centre Action: Have a policy

Section 2: Assessment & Internal Quality Assurance

Approval Standard 2	Assessment & Internal Quality Assurance	Comments from CII (blank = no evidence / insufficient evidence)
	The centre, in line with AO standards	
2.1	has appointed suitable assessment team members.	
2.2	has in place internal quality assurance processes and an internal quality assurance plan.	
2.3	has suitable venues for assessment.	
2.4	has procedures in place to maintain confidentiality of its assessments.	
2.5	has a conflict-of-interest policy covering the internal quality assurance process.	

2.6	has appropriate consent for sharing data.	

2.1 Suitability of assessment team members

The Head of Centre must ensure that the centre Assessors, Examiners and everyone involved with the centre and centre devised assessment (the assessment team) understand their specific roles & responsibilities and that they are effective in carrying them out. Required roles are listed in the glossary. Centres should be able to evidence that staff keep up to date with sector and centre requirements and that staff will be supported to maintain their skills. Moreover, all the centre's assessment team should be registered with and approved by the AO. Any staff changes should immediately be declared to the AO. The centre needs to gain the consent of all the assessment team to share their personal information with the AO (to allow the appropriate evidence of ongoing suitability to be provided to the AO if requested).

Centre Action: Register assessment team with AO – provide names and short justification of suitability

2.2 Internal Quality Assurance (IQA) Plan

The centre should have in place a plan, based on which it internally quality assures the assessment in line with AO standards. This plan must be submitted to the AO. Continuous review of the plan should take place by the centre to review its effectiveness and any changes in practice should be reflected within the plan. An example IQA plan and checklists can be found here.

Centre action: Produce, provide and adhere to a Quality Assurance plan

2.3 Suitability of venues for assessment

The centre must provide a full list of all assessment venues and additional campuses, used by the centre for the teaching & learning and the delivery of the assessment. The centre must ensure that all locations used are suitable for all aspects of training & assessment and be able to evidence they have done so. Inclusivity of access should be considered and Reasonable Adjustments made where required.

Centre action: Provide list of venues and evidence of suitability

2.4 Confidential Assessment Material Storage procedures

The centre should have procedures which mean that all reasonable steps are taken to prevent any loss, theft or breach of confidentiality of assessment materials. Centres should provide these procedures to the AO. Examples of best practice would include, but are not limited to, secure electronic data storage, the use of a locked cupboard with secure access, password protocols etc.

Centre Action: Provide procedures on secure storage of confidential assessment materials

2.5 Conflict of interest policy covering the Internal Quality Assurance of Assessment

The centre's conflict of interest policy should cover any potential conflict of interest within the internal verification process. Please refer to section 1.6 for more information and examples of conflicts of interest.

Centre Action: Ensure conflict of interest policy covers CDAs and Internal Quality Assurance.

<u>2.6 Data consent required to provide a list of enrolled learners undertaking the assessment</u>

As part of the regulation of the CDA, the centre should inform the AO of the full list of learners enrolled on the assessment before each assessment takes place. This should include anyone who has been enrolled for an assessment. In order to do this, the centre needs to gain the consent of all learners for their personal information and assessment information (including Reasonable Adjustments) to be shared with the AO for quality assurance purposes. Any changes to the learners enrolled should be declared to the AO.

Centre Action: Gain consent from learners

Section 3: Delivery of Assessments

Approval Standard 3	Delivery of Assessments	Comments from CII (blank = no evidence / insufficient evidence)
	The centre, in line with AO standards	
3.1	has appointed suitably trained assessment staff members.	
3.2	has appropriate pre-assessment & post assessment delivery arrangements.	
3.3	has a conflict-of-interest policy stating those who are involved in the creation of confidential assessment content cannot be involved in the delivery of the assessments (e.g. invigilation) nor the teaching of related learning.	
3.4	has made candidates aware of the process to apply for Special Considerations.	

<u>3.1 Staff training and competency</u>

The centre must ensure that all the assessment team are suitably trained to competently undertake their roles and are aware of the procedures relevant to their role. The centre should ensure both initial and on-going training is provided as required by the assessment team role.

Centre Action: Ensure training is provided for each role.

<u>3.2 Assessment delivery arrangements</u>

The centre should have pre and post assessment arrangements in place in line with the AO Assessment standards. Arrangements should be checks to attempt to reduce the risk of administrative error and to ensure the validity of the result. Examples might be assessment venue checks, sign in and check out of resources, learners, assessment materials etc. An example of checks that could be adopted can be found here. These should form part of the procedures in section 1.11 above.

Centre Action: Ensure assessment delivery arrangements form part of the procedures in section 1.10 above

3.3 Delivery - conflict of interest policy

The centre must have a written conflicts of interest policy see section 1.6 above. This policy should clearly state that those who are involved in the creation of confidential assessment content are not involved in the administration of the assessments (e.g. invigilation) nor the teaching of related learning.

Centre Action: Ensure conflict of interest policy covers assessment creation and administration

3.4 Special Consideration requests

The centre should make provisions so that learners are aware and are given the opportunity to apply for Special Considerations after the assessment. Learners should be made aware of these prior to the assessment. These procedures must be followed, where applicable, after each assessment.

Centre Action: Implement a Special Consideration policy

Multi-Site & Satellite Centre Approval Process

This process covers the CII approval of CII centres operating either in multiple UK locations or working with third party 'satellite' centres, including subcontractors or other form of partnerships. Please note that partnership/contractual agreements are between the CII centre and its satellite centres and the CII's focus as the Awarding Organisation (AO), is to ensure that the satellite centres meet the CII approval standards.

Multi-site definition

This is a CII registered centre operating in multiple locations, but all locations are under the same agreement and ownership. All administration, delivery and assessment are undertaken by staff employed directly by the CII registered centre.

Satellite centre definition

This is a centre which is independently controlled and managed from the CII registered centre. In most cases there will be an agreement between the two organisations.

Please note: the Client Centre Assessment Accreditation (CCAA) scheme, at launch, cannot accept satellite centres but multi-site arrangements are welcomed.

Application Process

Multi-site application process

- A single approval process will be required for the centre and its multi-sites. Both the accountability and the responsibility for the quality assurance of the multi-sites is directed through the CII registered centre.

Satellite centre application process (separate approval required for the centre & the satellite centre)

- The centre should make the CII aware of its wish to operate a satellite centre.
- The centre must apply for approval for each and all of its satellite centres.
- Each satellite centre will be individually subject to the approval standards and requirements.
- The CII registered centre will remain both accountable and responsible for the quality, delivery and administration of the satellite centre.

- The CII registered centre should make available the written contractual agreement between the centre and the satellite centre to the CII.
- In cases where there are quality or malpractice issues within the satellite centre, the sanctions will be applied to the CII registered centre and its satellite centres.
- The CII registered centre should monitor any satellite centres on a regular basis and maintain clear evidence of findings, which should be made available to the CII upon request.

CII Approved Centre Closure or Loss of Approval

The aim of this document is to provide a clear procedure for the centres to follow in the event of a CII approved centre closure.

Learners who are part way through their studies

The centre is responsible for protecting the interest of the learners, however, in circumstances where the centre is unwilling or unable to do so, the CII will step in to protect the learner's interest in line with Ofqual, Qualifications Wales and CCEA Regulations. The closure of one of the CII approved centres can occur in cases where a centre ceases to operate, closes down or where approval is withdrawn or ceases.

The process

At the point a learner enrols with the centre:
The centre must let learners know that if the centre closes or loses approval part way through learning for a unit and is unwilling or unable to assist learners complete their studies, the CII will endeavour to move the learners to a suitable unit offered by the CII directly.

At the point of closure:
The CII will write to the centre to confirm its closure. This will be done via letter or email to the Head of Centre. The aim of the letter would be for the CII to gain an understanding of the centre's willingness to support learners to complete their studies. In cases where the centre is unwilling or unable to help its learners, the following will apply:

- The Head of Centre will need to provide the CII with contact details for the candidates.
- The CII will write to all the learners to confirm the centre closure and that the CII, after completing a full investigation, will be in touch with the learners.
- The CII will then offer entry to a similar or alternative unit(s) within the qualification(s), or similar or alternative qualification(s), for learners to complete and it will make the necessary arrangements.
- Once the arrangements are in place, the CII will contact the learners to ask if they are happy to continue with their studies, based on these arrangements.
- If no contact has been made by learners within the set deadlines, CII will withdraw the learners, but it will keep their records in a manner and for a time period compliant with all relevant legislation and regulations.

Data retention requirements in all cases of centre closure

Data/document type/format to be retained by the centre	Retention trigger	Intended use	Retention period	Action at end of retention period
Video recordings of exams that take place under remote invigilation conditions	Date it is determined that further investigation is necessary	Reference for Appellant and appeal panel	24 months	Delete / Destroy securely
Exam/SC/RPL appeals full records (electronic or paper)	Date of outcome	Reference for Appellant and appeal panel, and to demonstrate process and decisions in the event of an escalated appeal to a regulator or any irregularity.	24 months	Delete/destroy securely
Written examination script (paper or scanned)	Date of exam sitting	Marking, Marker sampling, Post Results Review of Marking, Appeals. Maintenance of standards.	up to 12 months (unless subject to an appeal-which should be retained for 24 months following appeal decision)	Delete / destroy securely except for 3 scripts around the pass standard which should be scanned and transferred to CII.
On-screen written responses	Date of exam sitting	Marking, Marker sampling, Post Results Review of Marking, Appeals. Maintenance of standards.	up to 12 months - (unless subject to an appeal-which should be retained for 24 months following appeal decision)	Delete / destroy securely except for 3 scripts around the pass standard which should be scanned and transferred to CII.

MCQ test instance, items presented to learner (including the key option at the point of marking), learner responses and marking.	Date of exam sitting	Checking of any issues that may be raised by candidates	up to 12 months (unless subject to an appeal-which should be retained for 24 months following appeal decision)	Delete/destroy securely
Contract acceptance for contractors working on assessments (electronic. NB – paper doesn't need to be kept)	End date or termination of contract	Contract enforcement, clarity of responsibilities and queries e.g. on lessons learned or issues from the period of the contract.	Duration of contract plus 12 months	Delete/destroy securely
Records of moderation or standard setting meetings (where not sampled by the CII).	Date of related or latest related exam sitting and associated marking and results cycle	Record of how pass mark was agreed, and any observations/issues raised as part of marking process	up to 12 months - (unless subject to an appeal-which should be retained for 24 months following appeal decision)	Delete/destroy securely
Customer queries - qualification-related (emails escalated or handled by specialist team e.g. Online Exams; Exams Query)	Date of communication	Answer queries, refer to previous correspondence in escalated complaints and appeals or investigations into complex queries such as those relating to learning achievements over a number of years.	Indefinitely	

Customer complaints (iMIS record of issue and resolution in detail)	Date of communication	Form a central record enabling coherent response across multiple teams to complex queries and complaints, such as those relating to learning achievements over a number of years.	Indefinitely	
Assessment results	Date of result issue	Certification and verification of certification	Indefinitely	
Assessment high level details		Information on the key features of withdrawn and current units	Indefinitely	

Centre Guidance for Centre Devised Assessments and Learning; Approval and Monitoring

Introduction

Any assessment devised by a centre to take the place of an assessment offered by the CII and to count towards a CII qualification, is a Centre Devised Assessment (CDA). It is a requirement for the CII to ensure all CDAs meet all regulatory requirements. This guidance is designed to support centres in creating & delivering such assessments. Please note the number of units that can be taken by CDA per qualification is capped. Please ask for details if required by emailing ccaa@cii.co.uk.

CII undertaking any part of the CDA process

Where CII undertakes any part of the CDA process on behalf of a centre, the CII is responsible for ensuring those parts of the process meet the required standards but centres must inform CII of any issues encountered as soon as possible after becoming aware. The centre should have a contingency plan in place in relation to this part of the CDA, as for all other aspects, in line with approval standard 1.8 of the centre approval standards.

Glossary of terms

Term	Meaning
AC	Assessment Criteria
AO	Awarding organisation. The CII.
CDA	Centre Devised Assessment. Any assessment devised by a centre to take the place of an assessment offered by the CII and to count towards a CII qualification
EQA	External quality assurance. The quality assurance taken by the Awarding organisation (AO), the CII.
IQA	Internal Quality Assurance (process). The quality assurance undertaken by the centre's internal quality assurer.
LO	Learning Outcome

CDA Approval Standards

Writing, delivering & resulting CDA tasks

Section 1: Coverage of the AO Learning Outcomes (LOs) & Assessment Criteria (AC)

Approval Standard 1	AO Learning Outcomes Coverage	Comments from CII (blank = no evidence / insufficient evidence)
	The centre, in line with AO standards	
1.1	has, for new CDAs, a basic outline of the proposal to replace the AO assessment with its own CDA.	
1.2	has a CDA which covers the relevant CII LOs/Assessment Criteria/Key Indicative Content.	

1.3	has proposed assessment methods for its CDA which are appropriate – these are defined in the relevant qualification specification.	
1.4	ensure recommended study hours for the equivalent AO unit apply to the CDA.	
1.5	must secure AO sign-off of the proposed CDA before allowing learners to study for or take an instance of the CDA.	

1.1 Basic outline of the centre's proposed devised assessment

Initially, the centre must submit a basic outline of how it proposes to replace the AO's assessment with its own one. This can be done, for example, by providing a description.

Centre Action: For any proposed CDA, provide an outline proposal

1.2 Syllabus coverage

Please complete the CDA syllabus mapping template to clearly show the mapping.

Centre Action: Complete mapping matrix

1.3 Appropriate assessment method

The centre should also outline and give examples of its proposed assessment method(s) for the assessment, explaining how these methods are appropriate for assessing the AO's Learning Outcomes. The assessment method(s) are listed in the qualification specifications on the CII website. The CDA assessment method should be one of those listed in the applicable qualification specification. The centre should provide a rationale for the choice of assessment method.

Centre Action: Provide rationale for and examples of the assessment method chosen

1.4 Recommended study hours

The centre must ensure that the CDAs are developed and delivered in line with the recommended study hours for the equivalent AO unit, as stated in the AO's brochure, on the unit shop page or on the syllabus.

Centre Action: Ensure the recommended study hours required for the CDA meet or exceed the AO Unit recommended hours

1.5 Sign off received for the proposed CDA

The centre must ensure it has AO signed off approval for the CDA before allowing any learners to study for or take the CDA.

Centre Action: Gain sign off from the AO before allowing learners to study for or take the CDA

Section 2: Assessment Production

Approval Standard 2	Assessment Production	Comments from CII (blank = no evidence / insufficient evidence
	The centre, in line with AO standards	
2.1	has processes and procedures in place for the creation of assessments to ensure each assessment version/sitting is reliable and valid.	
2.2	ensures the individuals who have created the assessments have had no involvement in the the creation of training materials nor the delivery of learner training, lectures or tutorial work	
2.3	ensures the individuals involved in the creation of assessments have been deemed competent by the Head of Centre and that their performance is monitored.	
2.4	where using an item bank, ensures the bank contains sufficient questions to ensure continued, complete, reliable and valid assessments are administered.	
2.5	ensures assessment content is kept up-to-date.	
2.6	ensures assessment content is of the appropriate standard.	
2.7	ensures each assessment is constructed to the required standard.	
2.8	uses appropriate assessment language.	
2.9	attempts to ensure assessments are non-biased.	
2.10	has implemented effective internal communication systems for those involved in the relevant stages of the assessment (internally).	
2.11	has an assessment sign off process in place (internally).	

2.1 Assessment creation processes and procedures

The centre must have procedures in place for creating the CDA. These procedures should be in line with the standards and guidance provided by the AO for the creation of the assessments. The aim of the procedures is to ensure assessments are reliable and valid. The centre should also provide evidence that its current assessment creation processes are robust and regularly reviewed.

Centre Action: Create procedures for creating CDAs.

2.2 and 2.3 Assessment personnel

The centre must provide a list to the AO of those named individuals who have been involved in the creation of the assessments along with their up-to-date CVs. The centre must also ensure that these individuals have not been involved in the delivery of the training or training materials or tutorial work. For those individuals involved in the creation of assessments, there must be evidence that they have been deemed competent by the Head of Centre and their performance is monitored. Any changes on the named individuals must be reported to the AO immediately.

Centre Action: Provide a list of all individuals involved in the assessment production & delivery to the AO

2.4 Assessment – item banking

Item banks used by the centre must contain sufficient questions to ensure continued complete, reliable and valid assessments are administered. The AO reserves the right to request and obtain access to item banks.

Centre Action: Ensure any item banks are sufficiently populated with items

2.5 Assessment content is up-to-date

The centre must be responsible for keeping the assessment item content up-to-date. The centre may be asked to provide records of its quality assurance processes and updated content.

Centre Action: Create internal quality assurance processes based on which the assessment item content is kept up-to-date

2.6 Assessment content standard

Assessment content must test the syllabus and discriminate effectively. The AO will request examples of assessment content for sign off prior to the assessment being administered and may request data/statistical analysis of performance.

Centre Action: Ensure assessment content discriminates effectively

2.7 Assessment – construction

The centre must choose a representative, balanced sample of all possible material that could be assessed under the Syllabus, the Learning Outcomes and the underlying assessment content in an attempt to create a level of demand as close as possible to the AO unit and the previous CDA instances. A way for the centre to do this could be to use completed test construction specifications and to conduct statistical analysis of the assessment.

Centre Action: Each assessment is constructed to assess a representative sample of all possible content

2.8 Assessment – language used

The centre must ensure that the language used for the assessments enables learners to demonstrate their level of attainment and requires only skills and understanding applicable to the unit. The language should be clear and unambiguous. The centre will be required to provide the AO with assessment content for sign off prior to the assessment being administered.

Centre Action: Create assessments with clear and unambiguous language

2.9 Assessment – bias in assessments

The centre should take reasonable steps to try to ensure its assessments are designed and created in way that reduces the chance of bias. Assessments should only differentiate on the basis of learners' abilities to meet the assessment requirements. The centre may be required to provide the AO with assessment content for sign off prior to the assessment being administered.

Centre Action: Attempt to create non-biased assessments

2.10 Assessment – internal communication systems

The centre must have effective communications systems in place internally to ensure that the right people are involved and informed in the relevant stages of the assessment, from production to the final Internal Quality Assurance and the release of results.

Centre Action: Create an effective communication plan for those individuals involved in the assessment production & delivery

2.11 Assessment – Quality Control

The centre has a process in place based on which it ensures assessments internally are signed off as meeting the required standards.

Centre Action: Create & implement an effective process to sign off assessments

Section 3: Assessment Delivery

Approval Standard 3	Assessment Delivery	Comments from CII (blank = no evidence / insufficient evidence
	The centre, in line with AO standards	
3.1	has assessment delivery & invigilation procedures.	
3.2	follows the assessment delivery & invigilation procedures.	
3.3	offers and where applicable makes Reasonable Adjustment decisions in line with the AO provided process.	
3.4	has procedures to monitor all its sites.	
3.5	monitors all its sites in line with its procedures.	
3.6	Has procedures for monitoring & managing incidents	

3.1 and 3.2 Assessment & invigilation procedures

The centre must have procedures in place based on which it delivers the assessments, including invigilation arrangements. The centre must on request provide to the AO these assessment procedures. The centre must allow the AO to observe assessment sittings or provide recordings of remote sittings, any incident report forms or other evidence of assessment administration. The centre must monitor its invigilators to ensure they are acting as required by the centre.

Centre Action: Ensure procedures cover the administration of assessments and any invigilation arrangements

3.3 Assessment – Reasonable Adjustments

The centre must communicate the Reasonable Adjustments policy to the candidates and will be required to provide Reasonable Adjustment requests and proposed outcomes to the AO.

Centre Action: Communicate and apply its Reasonable Adjustments policy

3.4 and 3.5 Multi-sites

If the assessment takes place at any locations different to the main registered centre site, the centre must have procedures/controls in place to monitor its sites and their administration of assessments. Where the centre has multiple sites, each site should **NOT** be allowed to create their own CDAs. The centre must explain how the suitability of these places, for the delivery of the assessment, is assessed. Checklists are one suitable method of recording this information. The centre must provide these procedures to the AO and evidence that it monitors its sites in the way they administer and invigilate according to the AO's standards. The AO must be allowed to visit sites.

Centre Action: Monitor multi-sites

3.6 Managing & reporting incidents

The centre must have a process in place based on which it manages incidents happening during the exam delivery. This process must clearly state all the actions followed by the invigilator and the centre staff members when an incident has taken place. Reporting forms should also be filled in, stored and shared with the A0 upon request.

Centre action: Manage & report incidents during exam delivery

Section 4 – Marking

Approval Standard 4	Marking	Comments from CII (blank = no evidence / insufficient evidence
	The centre, in line with AO standards	
4.1	has got procedures in place to support accuracy and consistency of marking and related decisions.	
4.2	uses suitable personnel for human marking.	
4.3	uses quality assurance processes to ensure accurate and consistent marking.	

4.1 Marking procedures

The centre must have procedures in place to support the accuracy and consistency of marking and related decisions. These procedures should be shared with the AO as evidence to ensure that there is accuracy and consistency of marking. In addition to any human marked assessment procedures, where assessments are computer marked processes must be in place to ensure the accuracy of answer keys.

Centre Action: Have and apply marking procedures

4.2 Assessment marking personnel for human marked assessments

Where assessments are human marked, the centre should use, and record the use of, markers who are deemed competent by the Head of Centre. Copies of CVs and staff interviews must be provided to the AO, on request, as evidence for the suitability of these named individuals.

Centre Action: Choose suitable individuals for marking any human marked assessment

4.3 Human marking - quality assurance

The centre must have in place and use quality assurance marking procedures to ensure the accuracy and consistency of marking – examples include marking standardisation, seed/validity items, sample marking and internal moderation. The centre must be able to evidence a markers' performance. Centre evidence could include samples of marked learners' work on pass & fail scripts, internal moderation meeting recordings & minutes, marking criteria or marking schemes and related procedures.

Centre Action: Ensure marking quality assurance processes in place and applied

Section 5: External Moderation & Results

Approval Standard 5	External Moderation & Results	Comments from CII (blank = no evidence / insufficient evidence
	The centre, in line with AO standards	
5.1	has procedures to ensure consistency in the level of demand with the unit of the AO.	
5.2	has procedures to ensure consistency in the level of demand from one administration to the next.	
5.3	agrees to the AO undertaking external moderation.	
5.4	agrees to the AO checking all assessment results before release and gains the AO permission for all results on every occasion.	
5.5	provides constructive feedback to learners about their assessment results.	
5.6	has a process in place for the accurate communication of passing candidates to the AO.	

5.1 and 5.2 Level of demand of the CDA

For practical purposes, demand can be considered as the level of difficulty encountered by the same, minimally but sufficiently prepared and competent candidate, all things other than the test being equal, when taking different administrations of tests or test forms. The aim is for candidates taking different sittings of tests to have the same opportunity to pass. The centre must have procedures in place to ensure that the level of demand for each administration of the CDA is the equivalent level of demand to the one required by the relevant qualification/unit of the AO. The centre should also ensure the level of demand is consistent from the administration of one CDA to the next. Examples of evidence include internal moderation, standard setting and maintenance meetings, and the AO attending meetings upon request.

Centre Action: Ensure the level of demand for each CDA is consistent and in line with the AO's relevant unit

5.3 AO external moderation

Definition

This is a particular form of Centre Assessment Standards Scrutiny (CASS) always taking place before the final results are issued. The moderation process ensures that the marking of assessments by the centre is consistent and adjustments to the centre's marking are made, where required, to ensure that the results released meet the required standards and that no results are released in error.

The AO may attend the centre's internal moderation meeting and/or to make final adjustments to candidates' results prior to their release.

The centre must take into account all the suitable evidence when deciding any adjustments to examiner marking or pass marks for example, expert judgement, statistical data and, if applicable, examples of learners' work. The centre must receive approval by the AO before finalising any pass mark.

The centre must also provide to the AO records of how its internal moderation, standard setting and standard maintenance process works, how evidence is used and how the decisions are made for finalising results. The AO may attend and audit internal moderation, standard setting and standard maintenance meetings. The centre must allow the AO to intervene in or run its moderation, standard setting or standard maintenance meetings and, even where the AO has not attended the centre's moderation meetings, make final assessment decisions.

Centre Action: Allow external moderation before the release of assessment results

5.4 Results approval

The centre must receive AO approval before the release of results. In situations where learners receive an automatically generated result (e.g. on-screen computer marked), learners must be made aware that the result is for the centre's own learning course and confirmation of the CDA result and recognition in the AO qualification framework is subject to AO approval.

Centre Action: Allow the AO to conduct a final check of assessment results prior to its release

5.5 Results feedback

The centre must provide constructive feedback to candidates on their assessment performance and any implications for future learning after the release of results. The centre must provide evidence that a feedback process is in place.

Centre Action: Provide constructive feedback to candidates after the release of assessment results

5.6 Sharing passing results to the Awarding Organisation

The centre must have a process in place to ensure all candidates who have achieved a pass and only those candidates, can obtain the unit from the Awarding Organisation. The centre must provide the AO with lists of those who have achieved a pass in the CDA.

Centre Action: Have a process in place to ensure accurate communication of passing candidates to the Awarding Organisation

Section 6: Security of Assessments

Approval Standard 6	Security of Assessments	Comments from CII (blank = no evidence / insufficient evidence
	The centre, in line with AO standards	
6.1	has procedures for the secure storage of all its confidential assessment materials.	
6.2	maintains the confidentiality of assessment materials.	

6.1 Procedures for secure storage

The centre has procedures in place based on which it ensures secure storage of confidential assessment materials. The centre will need to provide these procedures on request.

Centre Action: Have procedures for securely storing all confidential assessment materials

6.2 Confidentiality of assessment materials

The centre must ensure that the security of confidential assessment materials is maintained throughout the lifecycle of the confidential assessment materials. The AO reserves the right to request access to this information for auditing purposes, including access to view secure storage and view evidence of secure sharing of assessment materials throughout the process. Processes that may assist the centre to maintain and show evidence of confidentiality are; checklists, password protocols, clearly defined roles & responsibilities, secure physical transfer and storage, secure digital transfer and storage.

The centre must also show that the processes they have in place for confidentiality of assessment materials are effective and followed correctly at all stages, and any incident occurring, has to be shared with the AO at the time it happens.

Centre Action: Maintain the security of confidential assessment materials

Section 7: Review of performance

Approval Standard 7	Review of Performance	Comments from CII (blank = no evidence / insufficient evidence
	The centre, in line with AO standards	
7.1	has procedures to review its performance and achievement in relation to CDAs.	
7.2	undertakes periodic reviews and identifies improvements where appropriate.	

7.1 Procedures for review of a centre's performance and achievement in relation to CDAs

The centre must have a process to monitor and review its overall performance and achievements against its stated aims for CDAs.

Centre Action: Have a process to review overall centre achievement against centre aims for CDAs

7.2 Undertakes periodic reviews and identifies improvements where appropriate

The centre must undertake periodic reviews as per its procedures in order to identify areas for improvement, where appropriate, and plan and make any identified improvements.

Learning Approval Standards
Centre guidance for learning

Approval Standard 1	Learning	Comments from CII (blank = no evidence / insufficient evidence
	The centre, in line with AO standards	
1.1	has a process in place to facilitate the learning for the units/learning outcomes.	
1.2	has created all the teaching and/or learning materials which cover the units/learning outcomes.	
1.3	has appropriate policies and procedures to ensure that trainers / appropriate centre staff can access the learning resources for each cohort.	
1.4	has course materials which are appropriately presented and sufficiently comprehensive to enable participants to achieve the course objectives.	
1.5	has appropriate policies and procedures to ensure that learners can access learning resources.	

1.6	delivers units in line with Study Hours and Recommended Study Time as stated in the qualification specification and the syllabus	
1.7	offers appropriate learning support for the level of complexity and to cover all the learning outcomes. This may include directing participants to sources of relevant information.	
1.8	has policies and procedures to ensure the learning material is up-to-date for each cohort in respect of for example legal, regulatory and market practice and the sign off is completed by competent individuals.	
1.9	must ensure the responsibility for the design and development of the learning should be assigned to competent, qualified individuals. There should be no link between the training delivery and the assessment process (e.g. question writing, marking, moderation).	

1.1 Process

The centre must have processes and procedures to facilitate the learning for the units/learning outcomes. The centre should adapt processes and procedures taking on relevant feedback received from candidates.

Centre Action: Provide procedures

1.2 Materials

The centre must create all the teaching and/ or learning materials which cover the units/learning outcomes.

Centre Action: Provide copies of any learning materials/handouts, online resources and/or associated lesson plans

1.3 Procedures for access and allowing access for trainers/staff

Ensure that trainers can access the appropriate learning resources for the learners. The procedures should cover any changes to teaching staff/trainers and how the centre keeps resources up-to-date in case of any syllabus/LO changes. These procedures should be followed.

Centre Action: Provide procedures and examples of up-to-date resources for teaching and learning, evidence that tutors and learners access and use up-to-date resources, evidence of monitoring teaching & learning

1.4 Material presentation and content

The centre must ensure course materials are appropriately presented and sufficiently comprehensive to enable participants to achieve the course objectives, taking into account any relevant feedback.

Centre Action: Provide examples of materials and evidence of peer review by other trainers

1.5 has appropriate policies and procedures to ensure that learners can access the learning

The centre must have policies and procedures to ensure appropriate teaching, stimulus, support, learning materials and resources. The centre should continue to support learners throughout the whole course. Resources should be updated as per any syllabus change. The procedures should be followed.

Centre Action: Provide procedures and evidence of learners' ability to access resources

1.6 Study time

The centre must deliver the qualification(s) and/or unit(s) in accordance with the published Study Hours and Recommended Study Time values. If these values change, the centre must adjust accordingly.

Centre Action: Provide lesson plans, evidence of number of hours training

1.7 Learning support

The centre must provide learning support for participants appropriate for the level of complexity so that it covers all aspects of the LO's.

Centre Action: Provide lessons plans, course handouts, evidence that the learning is meeting the Units LOs

1.8 Policies and procedures for keeping content up to date and signed off

The centre must have policies & procedures in place to ensure the learning is up-to-date for each cohort in respect of for example legal, regulatory and market practice. Sign-off of content should be completed by competent individuals. These procedures should be followed. Any changes in the legal, regulatory, market practice should be reflected in the content.

Centre Action: Provide procedures and a timetable for regular review of learning materials, process for signing off learning materials for each course. Evidence of sign off

1.9 Training delivery

The centre must ensure the responsibility for the design and development of learning is assigned to competent individuals. The centre must ensure that there is no link between the training delivery & the

assessment process. Where there any changes in the centre staff the centre must ensure no potential conflicts of interest arise.

Centre Action: Provide CVs to evidence qualifications and experience, provide COI Policies

Syllabus mapping form

Syllabus and Assessment Mapping

Centre

Centre Devised

Assessment (CDA)

CII unit

Date

CII Learning Outcome (LO)	CII Assessment Criterion (AC)	CII Indicative content	Centre CDA LO	Centre CDA AC	Centre CDA Indicative content

Summary/comment

_____

_____

_____

_____

_____

_____

_____

_____

Mapping completed by: _____

_____

Requirements for Centres creating a Centre Devised Assessment (CDA) which maps to CII units CD2 and CD3

Where a centre offers CDAs which map to the CII units CD2 and CD3, it is the centre's responsibility to ensure they track and log candidates taking these units. The first unit which a candidate passes is CD2. The second unit the candidate passes, assessing different products and/or processes to CD2, is CD3.

Centre Roles and Responsibilities

Centre Key Roles & Responsibilities

Head of Centre	Internal Assurer	Assessment Officer*	Assessor/Assessment team*
Ultimate responsibility for the centre and all Centre Devised Assessments.	Report to the Head of Centre and the Awarding Organisation (the CII) on the outcomes of IQA checks.	Report to the Head of Centre on operational matters.	Create, deliver, process and result assessments.
	Check the assessments to ensure they match the Awarding Organisation (the CII) standards.	Ensure that appropriate personnel and a procedure is in place for the creation and delivery of assessments.	Have and maintain expertise in the relevant sector.

	Ensure that there is a system in place to record IQA checks and the outcomes undertaken.	Keep accurate records of processes, decisions and outcomes relating to the assessments.	Have comprehensive understanding of the assessment methods & criteria.
	Give feedback to the Assessment Officer and Assessment Team.	Ensure Assessors and the Assessment team are trained.	

*The Assessment Officer and Assessor/Assessment Team may be the same person.
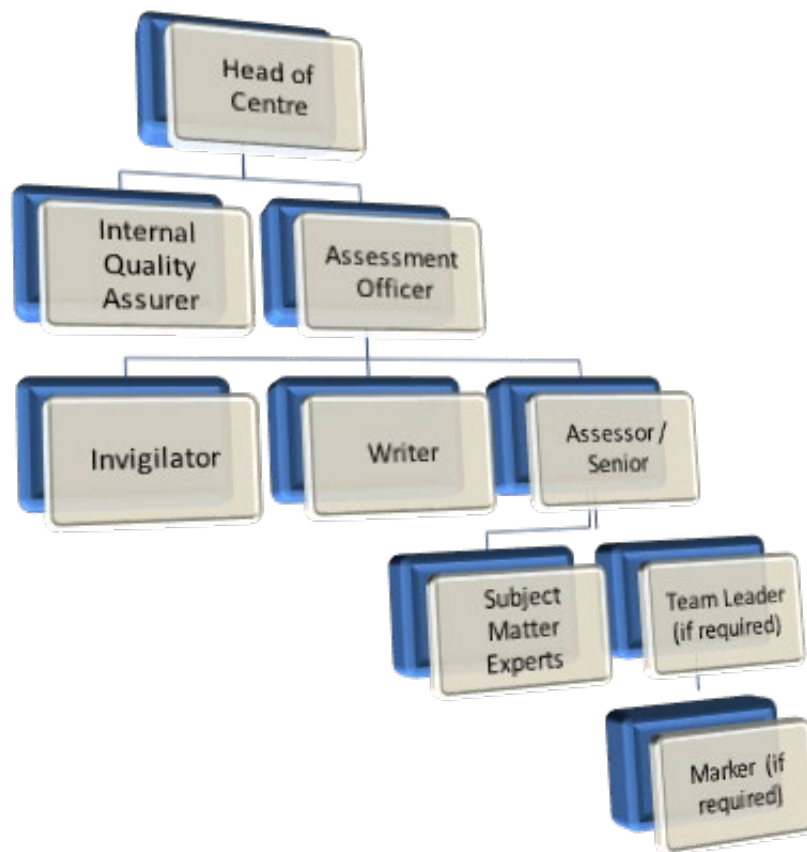
The IQA role

IQA overview

The centre must nominate a person to be the Internal Quality Assurer (IQA).

Internal Quality Assurer: The person appointed by the centre to verify assessments are created and delivered to the CII Client Centre Assessment Accreditation standards. This role should not be directly

involved in the production or administration of the Centre Devised Assessment (CDA) and should be appointed by (and be a different person to) the Head of Centre and Assessment Officer.

IQA involvement in each stage of Centre Devised Assessments

Stage 1: Assessment Production

The Internal Quality Assurer will verify procedures have been correctly followed for assessment production prior to the assessment being signed off for delivery. A typical checklist would be:

	Key Indicator	Met (Y/N)	Action
1	The correct process been followed for the creation of the assessment		
2	The individuals involved in the creation of the assessment have been deemed competent by the Head of Centre		
3	Each stage of production has been signed off		
4	Any new or revised content has gone through the correct production and editing procedures		
5	The assessment content is up-to-date		
6	Assessment content is of the appropriate standard as explained in the CDA Approval Standard 2.6		
7	Appropriate assessment language has been used		
8	Attempts have been made to ensure the assessments are non-biased		
9	The assessment is accessible to all candidates		
10	The centre has got the appropriate resources to deliver this particular assessment effectively and efficiently		
11	Confidential assessment materials are securely stored		
12	Where new assessment team members have been involved, this is a new unit, or changes have been made, appropriate additional checks have been made		

Stage 2: Assessment Delivery

During and after an assessment has been delivered, the Internal Quality Assurer will verify procedures have been correctly followed for assessment delivery. If a centre offers an "on-demand" model these checks would need to be undertaken periodically on a sample. A typical checklist would be:

	Key Indicator	Met (Y/N)	Action
1	The Head of Centre has confirmed the assessment team are appropriate for the role they are undertaking		
2	The assessment delivery & invigilation procedures were followed		
3	Confidential assessment materials securely stored		

4	Reasonable Adjustments were offered, where applicable, and decisions implemented in line with current process		
5	Appropriate additional checks were made where new assessment team members have been involved, this is a new unit, or changes have been made		

Stage 3 After Delivery to Results

After an assessment has been delivered, the Internal Quality Assurer will verify procedures have been correctly followed for the processing of assessment evidence.

If a centre offers an "on-demand" model (questions recycled from previous sittings) these checks would need to be undertaken periodically on a sample.

If any of these processes take place prior to the administration of the assessment, e.g., setting a pass mark to maintain the standard of demand, the same checks should be carried out at the appropriate point in the process.

A typical checklist would be:

	Key Indicator	Met (Y/N)	Action
1	Suitable personnel used for human marking		
2	Quality assurance processes to ensure accurate and consistent marking employed according to procedures (including setting answer keys for computer marked assessments)		
3	Procedures are applied to ensure consistency in the level of demand (complexity) with the unit of the Awarding Organisation. See CDA Approval Standards Section 5.1 and 5.2		
4	Procedures are applied to ensure consistency in the level of demand (complexity) from one administration (sitting) to the next		
5	Records are made and kept of meetings and decisions to ensure maintenance of demand (complexity) and consistency of marking and decisions		
6	Appropriate additional checks have been made where new assessment team members have been involved, this is a new unit, or changes have been made		

The Internal Quality Assurer needs to confirm they have read and understand key procedures and guidance.

In order to allow us to evidence this has happened, the nominated IQA should complete a form which should be signed, dated by the Head of Centre and returned to the Awarding Organisation (the CII).

Becoming an Internal Quality Assurer

Introduction

Any assessment devised by a centre to take the place of an assessment offered by the CII and to count towards a CII qualification, is a Centre Devised Assessment (CDA). It is a regulatory requirement for the CII to ensure all Centre Devised Assessments meet all regulatory requirements.

The centre must nominate a person(s) to be Internal Quality Assurer(s).

Internal Quality Assurer: The person(s) appointed by the centre to verify assessments is/are created and delivered to the Awarding Organisation's (AO) standards. This role should not be directly involved in the production or administration of the CDA and should be appointed by (and be a different person to) the Head of Centre and Assessment Officer.

Key roles and responsibilities. Each role is distinct and more than one role cannot be held by the same person:

Head of Centre	Internal Assurer	Assessment Officer	Assessor/Assessment team
Ultimate responsibility for the centre and all Centre Devised Assessments.	Report to the Head of Centre and the AO on the outcomes of IQA checks.	Report to the Head of Centre on operational matters.	Create, deliver, process and result assessments.
	Check the assessments to ensure they match the AO standards.	Ensure that appropriate personnel and a plan are in place for the creation and delivery of assessments.	Have and maintain expertise in the relevant sector.
	Ensure that there is a system in place to record IQA checks and outcomes undertaken.	Keep accurate records of processes, decisions and outcomes relating to the assessments.	Comprehensive understanding of the assessment methods and criteria.
	Give feedback to the Assessment Officer and Assessment Team	Ensure Assessors and the Assessment Team are trained.	

Internal Quality Assurers need to confirm they have read and understood key procedures and guidance.

Any Internal Quality Assurers nominated after initial centre approval should complete a form which must be signed and dated by the Head of Centre and returned to the AO as evidence they have read and understood the key procedures and guidance.

Centre	
Name of applicant to be an IQA	
I have read the following policies:	Confirmation and date
Conduct of assessment and invigilation	
Centre Malpractice & Maladministration Procedures	
Conflict of Interest	
Reasonable Adjustments	
Special Consideration	

Selected Response Exams & Constructed response exam guidance	
Complaints and Appeals	

Please answer the following:

1. Based on the malpractice procedures, in the event that there was an allegation that a member of staff had been teaching the test, outline the initial steps you would take.
2. Which regulation in the "Conduct of assessment and invigilation" document do you view as the most important and why?

I confirm this has been completed by the person detailed above.

Signature
Name (Head of Centre)
Date

Centre Guidance for Internal Quality Assurance
Centre Devised Assessments Monitoring
Introduction

Any assessment devised by a centre to take the place of an assessment offered by the CII and to count towards a CII qualification, is a Centre Devised Assessment (CDA). It is a regulatory requirement for the CII to ensure all CDAs meet all regulatory requirements. The centre should have written internal quality assurance processes and a plan in place approved by the Head of Centre to ensure the production, design and delivery of the CDA is at the required standard. The purpose of an internal quality assurance process being in place is to ensure the consistency and quality of the assessment. In order to ensure that the process has met the required standards, the CII will undertake External Quality Assurance.

The exemplar plan below is intended to be used for each CDA.
Any CDA must have been initially approved by the Awarding Organisation (AO) before being delivered.

The actual process undertaken and the order of events may differ but the checks remain relevant to all assessments.
It is expected that the Internal Quality Assessor will use sufficient sampling to reasonably satisfy themselves that each Centre Devised Assessment has been delivered and processed to the required standards.

Example **Plan**

As a centre we offer 2 CDA units. One unit is assessed by multiple choice items and one unit by constructed response items.

Each unit is offered 4 times a year.

Frequency of routine checks:

All stages for each unit will be checked at least annually. For each unit, 1 sitting will be checked for all stages at least annually.

Frequency of additional checks:

Additional checks will be carried out where there is a new unit, new assessment content, new or inexperienced member of the assessment team or where actions have been assigned following internal or external quality assurance processes.

Centre Devised Assessment delivery timetable and frequency of internal quality assurance

Name of centre:	
Name of CDA:	
Reasons/types*:	

*Routine, New or inexperienced member of assessment team, New Assessment, New Unit, Action from previous assurance process, Action from external quality assurance process

Stage 1: Assessment Production
The Internal Quality Assurer will verify procedures have been correctly followed for assessment production prior to the assessment being signed off for delivery. A typical checklist would be:

	Key Indicator	Met (Y/N)	Action
1	The correct process followed for the creation of the assessment		
2	The individuals involved in the creation of assessments have been deemed competent by the Head of Centre		
3	Each stage of production has been signed off		
4	Any new or revised content gone through the correct production and editing procedures		
5	The assessment content is up-to-date		
6	Assessment content is of the appropriate standard		
7	Appropriate assessment language has been used		
8	Attempts have been made to ensure assessments are non-biased		
9	The centre has the appropriate resources to deliver this particular assessment effectively and efficiently		
10	Confidential assessment materials securely stored		
11	Where new assessment team members have been involved, this is a new unit, or changes have been made appropriate additional checks have been made		

Stage 2: Assessment Delivery

During and after an assessment has been delivered, the Internal Quality Assurer will verify procedures have been correctly followed for assessment delivery. If a centre offers an "on-demand" model these checks would need to be undertaken periodically on a sample. A typical checklist would be:

	Key Indicator	Met (Y/N)	Action
1	The Head of Centre has confirmed the assessment team are appropriate for the role they are undertaking		
2	The assessment delivery & invigilation procedures were followed		
3	Confidential assessment materials have been securely stored		
4	The centre has offered and where applicable made Reasonable Adjustments decisions, in line with current process		
5	The centre has monitored all its sites in line with its procedures		
6	Where new assessment team members have been involved, this is a new unit, or changes have been made appropriate additional checks have been made		

Stage 3 After Delivery to Results

After an assessment has been delivered, the Internal Quality Assurer will verify procedures have been correctly followed for the processing of assessment evidence. If a centre offers an "on-demand" model these checks would need to be undertaken periodically on a sample. If any of these processes take place prior to the administration of the assessment, e.g., setting a pass mark to maintain the standard of demand, the same checks should be carried out at the appropriate point in the process. A typical checklist would be:

	Key Indicator	Met (Y/N)	Action
1	Suitable personnel used for human marking		
2	Quality assurance processes to ensure accurate and consistent marking employed according to procedures (including setting answer keys for computer marked assessments)		
3	Procedures to ensure consistency in the level of demand with the unit of the AO applied		
4	Procedures to ensure consistency in the level of demand from one administration to the next applied		
5	Records are made and kept of meetings and decisions undertaken in the maintenance of demand and consistency of marking		

		Met (Y/N)	Action
6	Where new assessment team members have been involved, this is a new unit, or changes have been made appropriate additional check have been made		

Stage 4 Results

At the point a centre is ready to issue results, and before results are released, the Internal Quality Assurer will verify procedures have been correctly followed for the provision of results to the AO and feedback to the learner. A typical checklist would be:

	Key Indicator	Met (Y/N)	Action
1	Created/calculated constructive feedback to learners about their assessment results		
2	Followed the process in place for the accurate communication candidates who have passed to the AO		
3	Centre has received AO approval to issue results and feedback to learners		
4	Where new assessment team members have been involved, this is a new unit, or changes have been made appropriate additional checks have been made		

The EQA role

External Quality Assurance (EQA) & Monitoring of the Approved CII Centres and Centre Devised Assessments (CDAs)

An External Quality Assurance (EQA) visit is used here to mean the monitoring of a centre and centre devised assessments (CDAs). This monitoring is undertaken by the CCAA team on behalf of the Awarding Organisation (AO) and can take the form of both a physical visit(s) and related requests and/or remote requests and remote meeting(s).

1. **The CCAA team – roles & responsibilities**
   - Acts as the link between the centre and the AO's Responsible Officer to ensure that all the centre's internal quality assurance systems are implemented effectively.
   - Advises centres on the requirements for the units delivered. Provides information and guidance to the centres in relation to the requirements the centre should meet.
   - Provides feedback to the centres following an EQA review.
   - Ensures CDAs meet the required standards as set by the AO.
   - Monitors assessment production, delivery and practices to ensure consistency and quality of standards.
   - Monitors the centre's governance requirements and the centre's quality assurance systems.

- Monitors exams venues and arrangements third parties.
- Monitors learning provided by the centre.

Please note: the AO reserves the right to conduct unannounced visits to the centre in line with and as stated in the Ofqual Handbook.

2. **EQA reviews**

The CII will carry out the initial centre approval and all subsequent quality assurance monitoring of the centres, CDAs and learning. Monitoring will involve engaging and liaising with individuals responsible for governance, centre & assessment quality assurance, assessment production, delivery and awarding of CDAs. Evidence of compliance with the approval standards will be required. The CII may require documents or oral statements. Please be aware that information given orally must be accurate as it will be treated as evidence.

Every centre and every CDA has a full annual review, starting at outset of CCAA scheme, where we check all approval standards based on evidence and observation. This feeds into the risk profiles for centre and CDA.

An action plan will be determined based on the Risk Profile and focusing on areas flagged in the Risk Profile. The risk profile is generated from the annual review and previous concerns or issues.
Some aspects of External Quality assurance will be done routinely i.e. for all administrations. At launch these aspects are, as a minimum, standard setting/maintenance and approval for results to be released to leaners. Depending on the risk profile, other areas may be subject to external quality assurance each administration.

Additional External Quality Assurance of CDAs will be conducted on a sampling basis.

Notification

The CII will get in touch with the centre's Assessment Officer and Internal Quality Assurer to inform them about the following:

- Details about the date and time of any visit or meeting planned;
- Details about any special arrangements that should be made by the centre for such a visit or meeting;
- Identify particular aspects of the governance, quality assurance and assessment process the CCAA team would like to discuss in detail;
- Request access to learners' assessment records (the CCAA team will state in advance the sample that they will request – i.e. which cohort and which learners);
- Request to review assessment materials and learner responses to assessments.

The CCAA team may need to:

- Meet with the Assessment Officer, Internal Quality Assurer and any other centre individuals responsible for the delivery and quality assurance of the assessments.
- Discuss and review the current internal quality assurance systems that are in place (both for the centre and the unit(s) assessed).
- Access evidence in relation to any, or all parts, of the centre and Centre Devised Assessment
- Sample check, for example,
  - physical resources used for the delivery of the programme.

- o learner' records
- o Reasonable Adjustment arrangements.
- Discuss the current assessment strategies that are in place.
- Request information about all the centre's exams' venues.
- Discuss with the centre its risk assessment for centre staff and assessment units.
- Discuss any conflict-of-interest issues or any changes since last visit.
- Provide guidance and advice about any aspect of the approval, as requested by the centre.

Please note: it is important that the centres provide access to all appropriate records as requested by the AO. Centres failing to respond to attempts by the CCAA team to contact them to arrange a visit with them might lead to Sanctions imposed by the AO to the centre.

The report
The CCAA team will write a report which will include findings and may include recommendations on any, or all aspects, of the standards checked during the Quality Assurance Review. The CCAA team will provide a written report to the centre about the findings within 7 working days. The report will include clear feedback, recommendations and where required an action plan.

Below is an example checklist for centres preparing for an EQA visit/monitoring:

	Be prepared to	YES/NO/N/A
1	Provide evidence that the centre's IQA plan for producing and delivering assessments is in place.	
2	Provide requested samples of learner's work for any/all assessments delivered since the last visit.	
3	Provide samples of assessment materials for the full range of assessment methods used by the centre.	
4	Provide lists of registered learners.	
5	Provide lists of learners achieving a pass.	
6	Provide evidence of direct observation of centre staff.	
7	Provide evidence of the processes and decisions used for the delivery and processing of assessment e.g. meeting minutes, recorded standardisation activities, standard setting meeting decisions etc.	
8	Provide access to/copies of centre's internal policies such as: safeguarding, equality/diversity, reasonable adjustments, malpractice.	
10	Provide evidence that training and development is in place to address and identify the needs of tutors, assessors and internal quality assurers.	
11	Provide evidence relating to the learning approval standards.	

Policies& Procedures (to be adopted or adapted)
Conflict of Interest Policy for Centres

Who and what is this policy for?
All centre staff members need to be aware of potential conflicts of interest. The CII is an Ofqual, Qualifications Wales and CCEA Regulated Awarding Organisation. In order to comply with these regulators' requirements, centres must have a conflict of interests policy to identify, manage and mitigate any conflicts of interest.

What is a conflict-of-interest?
A conflict of interest exists when an organisation or an individual has competing interests, which might impair its or their ability to make objective, unbiased decisions' (Ofqual Handbook, guidance on COI, Section A).

Examples of COI (not an exclusive list):
- *A staff member works at the centre and a member of their family undertakes an assessment in that centre*
- *A staff member involved in the delivery or marking of the assessment has a family connection with a registered learner*
- *The staff member at the centre who is teaching the assessment is also the invigilator*
- *The Assessor is also the owner & the Head of Centre (HoC)*
- *The staff member marking the assessment internally is also a panel member of an appeal process for the same candidate*

What must centres do?
Centres must take all reasonable steps to that there is no impact on the standards, quality assurance and integrity of the qualifications. Therefore, centres should ensure the following:
- Make sure all staff working directly or indirectly with the centre and Centre Devised Assessments are aware of the conflict-of-interest policy.
- Ensure all staff complete a conflict-of-interest form when they start working with the centre. This should be renewed annually, or when there is a change in circumstances, whichever is sooner.
- Identify and record conflicts of interest as soon as possible.
- Monitor and review the recorded conflicts of interest using a conflict-of-interest register or log.
- Declare any potential conflict-of-interest immediately to the CII.
- Identify appropriate actions to ensure no impact on the integrity of qualifications.
- Take appropriate action. Examples of actions that could be taken:
    - Individual not taking part in discussions or decisions of certain matters;
    - Referring decisions for certain matters to others with no vested interest; and
    - Agreeing not to be involved in a particular project.
- Where assessment or moderation has been carried out by someone who has a personal interest in the result, additional allocation of resources should be made to provide independent assessment and/or moderation, in order that adverse effects are mitigated.

Example of Employee Declaration of Interests

Private and Confidential

All centre / CDA employees must complete and sign this form within the first week of employment and then annually, or as required, to declare any interests.

A reminder will be sent annually requesting that you inform the Governance Team of any changes.

Name ……………………………………………. **Dept** …………………………………………………

Job Title ………………………………………………. **Manager** …………………………………………………

1. Do any members of your family work for or study at the centre? (Please include partners, wife/husband, civil partners) Yes/No

If yes, please indicate their name, their relationship to you and their role:

2. Do you have any other paid employment, or have an interest in, any business or undertaking or engage in any activity that might conflict with the centre's interests to deliver assessments as prescribed by the CII? Yes/No
If yes, please provide more information:
3. Please provide details of qualifications you teach:
   - Qualification title
   - Qualification level
   - Awarding Organisation

4. Details of the training/education provider or insurance and/or financial services organisations where you teach:
Name of the provider/organisation

5. Do you have any other interests which you wish to declare? Yes/No

If yes, please provide more information:

If you indicated 'Yes' to any questions 1 to 4 and there is any risk of the declaration creating a conflict-of-interest or being reasonably perceived as creating a conflict-of-interest, you must obtain written confirmation from your manager as to how this conflict-of-interest is being addressed. Please attach the written confirmation to a paper copy of this form.

Employee's Signature: ………………………………………..… Date: ……………..……………

Reasonable Adjustments and Special Consideration

The CII, which is not a member of the Joint Council for Qualifications (JCQ), has kindly been given permission to refer to the JCQ guidelines on Reasonable Adjustments. When considering Reasonable Adjustments the centre should read the available guidance on the JCQ website in addition to the CII guidance.

This procedure provides clear arrangements for making Reasonable Adjustments in relation to CII qualifications.

This policy sets out: -
● How a learner qualifies for a Reasonable Adjustment
● What Reasonable Adjustments can be made

Ofqual definition of Reasonable Adjustment (Ofqual Handbook, J1.8 Definitions, November 2020)
An adjustment made to an assessment or a qualification to allow a disabled learner to demonstrate his or her knowledge, skills and understanding to the levels of attainment required by the specification for that qualification.

Scope
This policy applies to CII centres and learners.

How a learner qualifies for a Reasonable Adjustment
Learners, in the first instance, must advise the CII centre of any Reasonable Adjustments that they may require to the current delivery or assessment methods being used. The CII centre should deem what is reasonable depending on the individual circumstances of the case including how important the adjustment is and how practical it is. A learner must never be made or asked to pay for an adjustment. No request for Reasonable Adjustments should be automatically refused however close to the assessment date it is received. Where arrangements are unable to be made, evidence of all actions taken should be retained for auditing purposes.

Evidence
All initial requests for Reasonable Adjustments/Access Arrangements should have the relevant documentary evidence. For example, candidates who are dyslexic must supply a copy of their detailed psychologist's report, access to work assessments, statement of special educational needs, or additional learning support (for blind candidates their RNIB card and for disabled candidates their RD card) etc.

Once a Reasonable Adjustment has been agreed, candidates with a permanent condition will not be required to re-submit this evidence within five years; once this period has elapsed the evidence will be reviewed and if necessary, updated documentary evidence will be requested. In some instances, medical or technical advances will require the Reasonable Adjustment to be reviewed. Where a condition is temporary or a candidate is still undergoing assessment or treatment, e.g. a broken limb, updated documentary evidence will need to be submitted in advance of each future sitting.

If extra time is agreed, candidates can be awarded a maximum of 25% additional time (15 minutes per hour) in their examinations; any request for more than 25% additional time should be supported by documentary evidence.

CII Reasonable Adjustment Procedure

Some examples of Reasonable Adjustments:

- Dyslexia – extra time, alternative font, alternative paper colour
- Vision impairment – large font, reader, scribe, extra time
- Arthritis – extra time for rest/stretch breaks
- Diabetes – extra time to check blood sugar levels, eat or take require medication
- English as a second language – use of a bilingual dictionary and additional time

Examples of Access Arrangements for non-disability related requirements are shown below

- Arranging a private space and invigilator to accompany a candidate who needs to pray during an exam.
- Arranging a private space and invigilator to accompany a candidate who needs to breast-feed during an exam.
- Ensuring a female is present to identify a candidate who wears a headscarf.

However centres must be mindful that any adjustment(s) made must not: -

- Disadvantage other learners e.g. if the adjustment made results in an unfair advantage;
- Change the learning outcomes or assessment criteria within the qualification which would undermine the validity of that qualification.

Centres should also be aware that adjustments may require additional processes and time (e.g. checking of bilingual dictionaries) and learners should be made aware of these before the assessment.

The Reasonable Adjustment(s) should be reported to CII

The Reasonable Adjustment should be reported to the CII **ahead of the Reasonable Adjustment being implemented** wherever possible in order that the CII can give guidance on best practice. The below form should be used. However, no request for Reasonable Adjustments should be automatically refused however close to the assessment date it is received. Where arrangements are unable to be made, evidence of all actions taken should be retained for auditing purposes.

Form

CII Centre Report of Reasonable Adjustment Form

This form must be completed by any CII centre when reporting any Reasonable Adjustment to the CII.

Centre name:

Centre number:

Contact name:

Contact address, phone number and email:

CII qualification code:

Qualification title:

CII unit code:

Unit title:

Learner name:

Please give the nature of the Reasonable Adjustment(s) including whom it was reported to and when:

Describe the actions taken by the centre:

If there are any other details you feel are relevant to this Reasonable Adjustment(s), including any relevant medical records, please give further information below:

Logging

All requests and adjustment(s) made should be logged. This must include a column confirming when the medical evidence was supplied to enable the five-year review process to take place.

After each examination season all candidates with a Reasonable Adjustment or Access Arrangement should be sent the exam accessibility and Reasonable Adjustment feedback questionnaire. Any candidate who returns a completed questionnaire and provides additional feedback should receive a personal response.

After each examination season a report should be produced and used to review and evaluate the procedures. Included in the report should be the feedback from the questionnaires returned by candidates who applied for Reasonable Adjustment(s) or Access Arrangement(s), their performance in the examinations, any feedback received and any proposals for improvement in this provision.

CII Special Consideration Procedure
The CII, which is not a member of the Joint Council for Qualifications (JCQ), has kindly been given permission to refer to the JCQ guidelines on special consideration. When considering Special Considerations the centre should read the available guidance on the JCQ website in addition to the CII guidance.

Purpose
This procedure aims to ensure that Special Consideration is given by the CII centres, to a learner who has temporarily experienced: -
● A sudden illness or injury during the assessment or
● An event outside of the learners control, which has had, or is reasonably likely to have had, a material effect on that learner's ability to fully demonstrate his or her level of attainment in an assessment introduction.
This procedure provides clear arrangements for dealing with Special Consideration in relation to CII qualifications.
This policy sets out: -
● How a learner applies for a Special Consideration;
● What Special Consideration will be made for learners taking CII qualifications.

Definition of Special Consideration (Ofqual Handbook, J1.8 Definitions, November 2020)
The term "Special Consideration" is a temporary experience that prevents the learner from being able to demonstrate his or her full capability in an assessment.
For example, this could be disruption or adverse conditions during the assessment or a very recent event, such as bereavement.
A candidate might reasonably request that their paper/responses should receive due consideration in the marking process for other special circumstances, such as:
- The candidate was ill just before or during the examination, for which they must submit medical evidence to uphold their claim;
- The candidate suffered a bereavement shortly before their examination;
- The candidate was made redundant shortly before their examination;
- An irregularity relating to the examination environment (e.g. excessive noise or disruption).

Special Consideration is only required if the learner's ability is impaired at the time of the assessment; therefore it cannot be planned for. For example, if the learner cannot attend the assessment due to being on holiday, this is not a Special Consideration.

It is expected that candidates will have made use of all available support services (i.e. where a special need is known prior to the examination) before making a request for Special Consideration.

Scope
This policy applies to all CII centres and may also apply to CII learners.

How a learner applies for Special Consideration

Learners, in the first instance, must advise their CI centre as soon as possible after the assessment if they consider that their performance was affected by an unforeseen event.

If a candidate suffers temporary illness, injury or indisposition at the time of assessment, the invigilator has been instructed to log the full details in an Incident Report Form. If the candidate reports that they believe the temporary illness has affected their ability to perform in the assessment and if the invigilator has seen proof of the illness (e.g. the candidate has vomited or fainted) then the illness can be taken into consideration. If no proof is immediately available to the invigilator, then the candidate must provide medical evidence in order for their condition to be considered.

The candidate can report their illness verbally to the invigilator during the exam or immediately after the exam or to the centre (in writing within 5 days of the examination). The minimum evidence required is a written statement by the candidate together with either visual proof seen and reported by the invigilator, or a medical report (signed by a qualified medical practitioner) evidencing the described condition/illness at the time of the examination.

In some cases, it may be necessary to request for further details, or medical evidence, from the candidate if it is not clear why they are applying for consideration.

The centre will review the information provided by the learner and will make a judgement upon whether they believe Special Consideration should be applied. The centre will gather evidence from the learner to support their claim for Special Consideration.

In all instances the 'Centre Report of Special Consideration Form' will be completed by the centre and sent to the CII.

Logging
All requests and awards should be logged and retained for audit purposes for a time compliant with current legislation.

Procedures should be reviewed and evaluated regularly to ensure arrangements are effective and meet the requirements of current legislation.

The Special Consideration should be reported to the CII
The CII centre must report any Special Consideration arrangements that it is considering to the CII using the form which can be found at the end of this procedure.

Centre Report of Special Consideration Form
This form must be completed by any CII centre when reporting any Special Consideration to the CII.

Centre name:
Centre number:
Contact name:
Contact address, phone number and email:
CII qualification code:
Qualification title:
CII unit code:
Unit title:
Learner name:
Please give the nature of the Special Consideration, including to whom it was reported and when (include evidence as necessary):

If there are any other details you feel are relevant to this Special Consideration, including mitigating circumstances, please give further information below:

Regulations for the Conduct of Assessments
Introduction

Where possible these regulations must be followed by centres for the conduct of assessments. They may need to be adapted depending on the centre's specific circumstances.

Centres should make available their own regulations, which can be these or an adapted version, to the individuals involved in the conduct of the assessment, prior to the assessment and during the assessment for reference.

The CII has a zero tolerance to discrimination and aims to make its assessments as inclusive as possible. Those involved in any stage of the assessment should be aware of the protected characteristics defined in the Equality Act as age, disability, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation and transgender and of their duty to ensure that all learners are treated fairly.

Centre Responsibilities

The centre's Assessment Officer is responsible for the proper conduct of the assessments and any invigilation processes. The Head of Centre must ensure that the Assessment Officer is performing their duties to the required standard.

The Assessment Officer must ensure that:

1.1 Confidential assessment materials have been kept secure and have not been accessed by any learner or other member of staff prior to the assessment (e.g. no access to, or release of, confidential assessment materials prior to the scheduled release time, regardless of whether the assessment is on screen or on paper).

1.2 Learners' identities are confirmed prior to the assessment commencing.

1.3 Learners are treated fairly and appropriately during the assessment.

1.4 Learners' work produced in an assessment is anonymous to any human markers where applicable.

1.5 Learners are logged on or asked to complete registration details to ensure work produced in an assessment can be linked back to the correct learner.

Invigilation Requirements & Invigilator Responsibilities

1.6 For closed book assessments, it is the Assessment Officer's responsibility to appoint suitable invigilators for the conduct of the assessment whether delivered on screen, on paper, at a centre or via remote invigilation. Invigilators are required to comply fully with the invigilation instructions and are responsible for the appropriate conduct and integrity of the assessment.

1.7 The Assessment Officer must ensure that:
- At least one invigilator is present in the room at all times with learners taking the assessment.
- Another individual must be available to invigilate in cases where only one invigilator is appointed or needed in the room where learners are taking the assessment.
- One invigilator must be present per 15 candidates and if the number of learners is 30 or above, at least two invigilators are required to be present.
- For onscreen tests, technical support must be available on the day, in the event of equipment failure.
- For assessments remotely invigilated "live", there should ideally be 1 invigilator per 2 candidates and a maximum of 1 invigilator per 6 candidates.

1.8 The invigilator should meet the following requirements:
- The invigilators must not be a tutor for the unit being examined or a tutor of anyone taking the assessment in any capacity.
- The invigilators must not have any direct involvement with any candidate (e.g., be a relative, a line manager or a training provider for any unit being sat).
- The invigilators must not undertake any other activity while invigilating and must not leave the learners unattended.
- The invigilators must ensure that all confidential assessment materials are securely stored or returned to the Assessment Officer at the end of the assessment.
- The CII does not accept responsibility for the payment of fees or expenses to invigilators.
- It is the responsibility of the centre to appoint invigilators and brief them on the requirements for the conduct of assessments. Invigilators should be suitably qualified and experienced adults whose integrity may be relied upon. They act for the centre and the centre is responsible for their payment and actions.
- The centre must ensure that invigilators are familiar with the content of this document and that invigilation is operated in accordance with it and any local or national invigilation arrangements.
- Invigilators must give all their attention to conducting the assessment properly; be able to observe each candidate at all times; and be familiar with the specific instructions relating to the assessment.

Identity Checks

1.9 Identity checks must be carried out to verify learners appropriate, valid photo ID documentation. For all assessments, learners will need to produce one of the following as proof of identity:

- A current passport.
- A driving licence containing both photograph and signature.
- A national identity document containing both photograph and signature - this excludes UK National Identity Cards.

All forms of identification should be presented in their original form and photocopies will not be accepted.

In cases where using an on screen assessment, the invigilator must ensure that both the identity of the candidate is established, and that the candidate's name and ID matches the name and ID on the test screen.

Preparing for the Assessment

1.10 For sitting closed book assessments where more than one learner is in a room, each learner must be sitting at least 1.5 metres apart in order to prevent the chances of collusion.

1.11 Only learners with authorised access (i.e. those taking the assessment) must be allowed to enter the room where the assessment is taking place.

1.12 Learners must not start the assessment until they are instructed to do so by the invigilators.

1.13 For remotely invigilated assessments there should be a room scan. In addition, there should be a check with a mirror to see the keyboard and edges of the screen of the laptop or PC to check for notes.

1.14 Only the learner should be allowed in the room where they are taking the assessment, immediately before, during or after the assessment.

1.15 In all cases, the learners must not communicate with, or willingly receive communication from any person during the assessment other than a invigilator.

1.16 For on-screen assessments, it is the responsibility of the centre to have a procedure in place to ensure that both the identity of the candidate is verified and that the candidate's name and ID matches the name and ID on the on-screen test.

1.17 A clock must be in the room where the assessment is taking place and the invigilator must make learners aware of the time at regular intervals. For onscreen tests, a timer should show on the screen.

1.18 If learners have any unauthorised materials in an assessment (whether or not they intend to use them) this may constitute malpractice. This material must be removed from the room immediately. Learners should be reminded of prohibited materials before the assessment is started and instructed to remove any that have been taken into the room. If any prohibited materials are discovered after the assessment has started this must be treated as potential malpractice and reported to the Assessment Officer as an incident.

Permitted Resources

NB: The exact resources permitted will depend on the Centre Devised Assessment.

1.19 For closed book assessments, candidates may not refer to non-permitted books, notes, paper (except permitted blank paper - see below), documents or other written, typed, printed or electronic (e.g., a website) material during the assessment.

1.20 Where calculators are permitted, they should be non-programmable.

1.21 Where notes are permitted, a pen may be used. Invigilators must witness the candidate destroying the notes at the end of the assessment. If being delivered in an assessment room, blank notepaper or a whiteboard should be provided by the centre. If being delivered via remote invigilation, the invigilator needs to request that they are shown both sides of the blank paper.

1.22 No dictionaries (physical or online) unless otherwise indicated (as an exception) by the CII or via a successful reasonable adjustment request agreed prior to the exam.

1.23 The following are all non-permitted items:

- No smart watches.
- No mobile phones.
- No electronic devices (including programmable calculators).
- No food.

1.24 Hearing aids are only permitted when requested prior to the sitting. Learners can have a drink in a transparent container but it must be a clear, transparent bottle or similar with the label removed.

1.25 Mobile telephones and other means of electronic communication are **not** allowed in any closed book assessment. Learners should be warned of this rule in advance and reminded at the start of each assessment. If such prohibited devices have been brought into the room, they should be switched off and placed beyond the reach of learners.

1.26 Learners must not enter the room once the assessment has started. Those learners arriving late will be recorded as absent.

1.27 The invigilator must not distract the learners, either by talking to them or by making observations about their work.

Starting the Assessment

1.28 Before learners are allowed to start work on the assessment, the invigilator must always inform learners of the rules which apply.

1.29 Every effort should be made to start the assessment session at the specified time.

1.30 Learners should not be allowed to start the assessment until the invigilator is satisfied that the room is ready and all required checks have been carried out.

1.31 If there are issues which prevent the assessment from being started and it becomes apparent they cannot be resolved, or 60 supervised minutes have passed since the scheduled start time, the sitting should be abandoned and the assessment re-arranged.

During the Assessment

1.32 If toilet breaks are permitted, learners need to be accompanied to the toilets and the assessment room must not be left without and invigilator. For remotely invigilated assessments lasting less than 3 hours, toilet breaks are not allowed. For assessments lasting 3-hours or more candidates are not expected to take a toilet break. In the event of urgent necessity, a short toilet break can be taken. Lengthy breaks could invalidate the assessment. These should be reported to the centre. The centre should review each case and report any suspected Malpractice to the CII. The CII reserves the right to withhold results.

1.33 All the work must be collected at the end of the assessment and no work is to be taken outside of the assessment room.

1.34 The centre will inform the learner of any breach of regulation and explain that the CII reserves the right not to accept the learner's responses. Notes will be made by the invigilator on any prohibited documents, materials or devices and the learners will be informed that the circumstances will be reported to the CII using an incident report. The CII reserves the right to withhold the result.

1.35 If any of the regulations for the conduct of the assessment are breached by a candidate or invigilator the CII may declare the assessment void.

Unplanned Breaks/Emergencies

1.36 In the event of an emergency such as a fire, the invigilator should follow the centre's evacuation rules.

1.37 In the event an unplanned break or emergency can be resolved, the assessment can continue as long as learners have been supervised and have not been allowed to consult with each other, anyone else or prohibited resources.

1.38 If an assessment cannot be re-started because of an emergency event, systems failure or because learners were not invigilated during the unplanned break/emergency, then the test should be abandoned.

1.39 Invigilators must make notes of the time, reason and duration of interruption in all cases and report to the Assessment Officer.

1.40 Any decision on partially completed work should be referred to the CII.

Learner Generated Assessment Responses and Confidential Assessment Content

1.41 The centre must ensure all learner generated responses and confidential assessment content is securely processed without loss.

1.42 Some examples of how this can be achieved are:

- Password protection.
- Secure envelopes.
- Encryption.
- Secure delivery service.
- Check in and check out protocols.

1.43 Invigilators and the Assessment Officer should have processes in place to check that before and after the assessment, the number of responses matches the number of learners.

Misconduct & Irregularities

1.44 Any adverse circumstances which may warrant special consideration or other incident must be reported in writing to the centre using a report form and the centre should report it to the CII immediately.

1.45 Any misconduct or irregularity must be reported in writing to the centre using a report form and the centre must immediately report this to the CII. A decision will be taken as to whether to disqualify candidates for this, and any other CII examination they may have taken.

Access Arrangements, Reasonable Adjustments and Special Considerations

1.46 The CII is committed to creating and maintaining conditions which give access to its education and assessment provision, regardless of any protected characteristics, to allow candidates to maximise their potential to the best of their abilities.

1.47 The CII at all times acts to ensure that no unfair barriers apply to those seeking to gain the qualifications it offers. The CII is committed to giving all candidates an equal opportunity of achieving its qualifications in line with current UK and EU directives.

1.48 The CII's equal opportunities policy applies to all the assessments it administers and those administered by its centres. Provisions should be made by centres for candidates who have different educational requirements or disabilities including, but not restricted to, those who are dyslexic, blind, partially sighted or those with dexterity impediments.

1.49 Accommodations may need to be made by the centre to prevent discrimination for reasons other than disability. Examples of such adjustments are allowing extra time for a nursing mother to breastfeed her child; ensuring a female official is present for the veil of a Muslim woman to be lifted for identification purposes; and allowing extra time for prayer where an individual is required to pray at a specific time during an exam. This list is not exhaustive.

1.50 By working with the learners, the centre should be notified in advance of an assessment those attending who may require additional time or the use of additional equipment/material to complete their assessment. Invigilators must deal with these learners' requirements sensitively and confidentially.

1.51 Leaners are requested to give advanced notice for reasonable adjustments. In cases where notice is not given, the centre must do what it reasonably can to assist, the centre may therefore receive requests up to the date of the assessment.

1.52 It is not necessary for learners to advise the centre of any condition or disability they may have if they do not require any reasonable adjustments. Invigilators are however required to ensure all candidates are able to access and complete their assessment as required.

1.53 If at the end of the assessment the learner considers there are circumstances that need to be taken into account in assessing their performance, they should be asked to inform the centre within 5 working days of the examination. The CII should be informed of any requests for special consideration.

1.54 In processing applications and implementing these policies the centre must comply with all relevant data, discrimination and equality legislation.

Appendix 1 Checklist for Assessment Officers

For the Assessment Officer	
Before the examination	**Yes/No/NA**
Arrangements have been made for all those learners with approved reasonable adjustment requests	
All confidential assessment materials have been kept secure prior to the assessment	
You have ensured that all the invigilators are suitably trained and know what is expected of them	
The ratio between invigilators and learners taking the assessment is correct	
You have ensured that the invigilators do not have a prohibited relationship with the learners taking the assessment	
You have ensured that a clock is available for learners	
You have ensured that there was a sign outside the assessment room stating 'assessment in progress-do not enter'	
You have ensured the room is of the appropriate size, with enough windows and good ventilation	

Where using computers, there are enough computers to allow for a couple of spare machines, if required or in case of any technical issue	
You should ensure the invigilators have a copy of the relevant sections of "*this document*" and the applicable assessment rules	
After the examination	
The invigilators read out the rules to the learners before the start of the assessment (see appendix 3)	
The invigilators checked the identity of all the learners taking the assessment	
Learner assessment responses and assessment materials have been processed securely and with appropriate checks	
Any irregularities have been documented and reported to the CII	

Appendix 2 Checklist for Invigilators

For the Invigilator	
Before the examination	**Yes/No/NA**
You have a copy of the relevant sections of "*this document*" and the applicable assessment rules	
You have a copy of the attendance register or equivalent for onscreen tests	
You have a copy of any unit-specific instructions	
You know the following in relation to onscreen tests: • How to unlock the test • How to finish the test • What to do in case of an emergency or a technical issue	
You have ensured that there is enough distance between the desks to avoid collusion	
You have checked & verified the identity of the learners	
Learners are aware of what time they may begin and how much time they have	
Learners are aware they must follow the regulations of the assessment and draw attention to those regulations (see appendix 3)	
Ask learners to handover any unauthorised material, including mobile phones	
You have ensured that learners have access to their onscreen tests and they have the correct learner registration ID	
Any reasonable adjustments are in place	
After the examination	
The onscreen tests are closed before the learners leaves the room	
Learner assessment responses and assessment materials have been processed securely and with appropriate checks	
Incidents have been logged and reported	

CII Invigilator Announcements to Candidates for Supervised Assessments

Announcements covering the topics below **must** be made by the invigilator to all learners prior to the commencement of an assessment. Announcements in quotation marks are to be read as written, others will need to be adapted to the specifics of the assessment.

1. "The regulations of this assessment must now be followed".

2. "By taking this assessment you are bound by the terms and conditions of entry and assessment rules".

3. A reminder of rules on:

    a. Prohibited and permitted materials.
    b. Attempting to access prohibited materials.
    c. Electronic devices including mobile phones.
    d. Starting (e.g., not before announced).
    e. Attempting to communicate with other learners.
    f. Toilet breaks.

4. A reminder that breaching the rules could constitute malpractice and the centre's Malpractice & Assessment requirements policy would apply.

5. A reminder to read instructions.

6. How the assessment will end.

7. "If at the end of the assessment there are circumstances that need to be taken into account in assessing your performance, you should speak to the invigilator immediately."

Selected response exams guidance

Acknowledgement

This guide is based on the **Guide to Item Writing and Editing for the Financial Planning Certificate** which was compiled by Dr J Foulkes, latterly of the University of Cambridge Local Education Syndicate. Our thanks to him for his kind permission to adapt his guide.

The Test Development Process

This section provides an overview of the test development process.

The syllabus sets out the high-level learning outcomes and a more detailed assessment criteria.

Detailed item and test specifications are prepared.

This stage is crucial since, without carefully prepared specifications, tests are likely to be composed mainly of those items which are easiest to write, rather than the variety of items which are needed to fulfil the aims of the testing programme.

Item writers are then recruited and trained by means of a short initial training course. Item writers also develop their skills in the course of the programme in which they are engaged, particularly through the experience of attending editing meetings.

Once the items have been written, they will be edited. This editing is usually carried out by a small group of people, most of whom will also have had experience of item writing. The aims of this exercise are to ensure that the items test what they are supposed to test and that they are presented clearly and unambiguously.

Some draft items will be rejected at this stage and are returned to the item writer with reasons for rejection. Wherever possible, this will be constructive criticism, suggesting how the items might be revised or how a different initial approach might have yielded an acceptable item.

Satisfactory items are banked. A bank is a collection of items held in a computer database. As well as containing the text of the items, it will contain information relevant to the item: the key, a history of the item's use in test papers, statistical information about the difficulty of the item and a classification of the topic covered and skill teste.

The cycle of item-writing is as follows:

Constructing Tests
A "form" is a version of a test; tests may exist in:
- Fixed forms, one of which is selected at random to be administered to the candidate.
- Randomly generated forms picked to a specification.
- Adaptive tests.
- Linear, on the fly tests.
- As well as others.

Fixed forms will be discussed here but literature on all these test types is widely available and should be consulted before considering developing tests of this nature.

Test forms contain items picked from the bank. Care is taken to ensure that different tests are parallel in respect of difficulty and of subject matter covered. The forms are then reviewed by subject-matter experts (SMEs) and a technical check to ensure accuracy is made. Standards are set by a standard setting committee made up of SMEs. A standard is developed by considering what a candidate will need to be able to carry out their job effectively, what facts need to be known and what skill is needed in applying those facts to particular situations. The test pass mark indicates an adequate level of competence. Tests are administered by computer, allowing the rapid issuing of results to candidates. Data on the performance of test items is collected for the purposes of evaluation. Test evaluation uses primarily statistical methods to assess the quality and effectiveness of each item. As a result of this, items may be rejected or may need to be re-written. The stages in the construction of test forms are as follows:

Specifications
Once an outline specification has been decided it is desirable to determine the balance required between the various skills and content topics which should be tested. Test specifications are set out in 'specification grids', which specify the numbers of items assessing each topic and the numbers of items assessing each skill. It is normal practice to specify the overall balance between content categories and skill categories by making the marginal grid totals of the specifications prescriptive. It is more hazardous to attempt to be definite as to the number of items to be included in a test for each cell in the grid, although often an attempt is made to achieve a balance of skills within each syllabus section, for example by specifying that at least one item should fall within each grid box.

The advantages of specifying tests in this way are that:
1. The content of the test is dictated not by the whim of individual item writers or editors, but by a deliberately planned intention on the part of the examiners.

2. It ensures that the test does not include only the kinds of items which item writers find easy to produce (often those testing the recall or recognition of factual knowledge or the use of simple computational skills).

3. The specification of abilities makes explicit a balance which is implicit in the minds of examiners. Multiple choice tests constructed without proper specifications usually suffer in validity through the overweighting of particular skills or syllabus sections, commonly through greater emphasis than examiners would wish on either factual recall or ability to make straightforward use of formulae.

4. It makes an important contribution to ensuring that there is comparability of test forms.

5. It provides a basis for the banking of items and their subsequent retrieval in actual test construction.

Item Specifications

Items are specified, or described, in two broad ways: according to their content; and according to their technical qualities of facility and discrimination. The technical specifications are of qualities which are defined statistically and are determined by an analysis of how candidates actually respond to the items. Here, we are concerned with the first aspect of item specification, that of content.

Topic Specifications

The specification by topic is made by dividing the area of learning, which is being assessed, into convenient and, as far as possible, self-contained sections. The 'topics', in other words, are the subject matter which is to be known and understood.

The syllabus divides the areas of learning to be assessed into a number of *learning outcomes*. Item writers will focus on the finest level of topic specification, the indicative content. However, this is too fine a level for the sensible application of a specification grid. We may specify how many items we shall include on, for example, assessment criterion section 3.1 but not how many on indicative content section 3.1.1. This is not to say that we shall not attempt to strike a balance in testing indicative content within a given assessment criterion.

This is illustrated by the topic specification, with weightings, for R03:

1. Understand the UK tax system as relevant to the needs and circumstances of individuals and trusts (30%)
2. Analyse the taxation of investments as relevant to the needs and circumstances of individuals and trusts (30%)
3. Analyse the role and relevance of tax in the financial affairs of individuals and trusts (20%)
4. Apply the knowledge of personal taxation to the provision of investment advice (20%)

Skill Specifications

In specifying the balance of skills to be tested we need some way of classifying mental skills or processes. It should be said at the outset that we shall not take too seriously any scheme we adopt. We may be in error of believing that we can predict the process which learners will go through in answering an item; they may use different processes, and we are only specifying the probable mental process. The specification nevertheless has value in imposing a discipline on the writing and constructing of multiple-choice tests.

Probably the most widely known and used classification is Bloom's taxonomy, which uses the following terms (it is acknowledged this has been enhanced):

Each stage is necessary for progression to the next: you cannot have understanding without knowledge, and so on. The higher skills of Synthesis and Evaluation are outside the scope of this guide (and are arguably impossible to assess through multiple choice items). The other skills are explained below.

Knowledge. Typically involves question words such as 'what', 'where' or 'when', and requires only the recall of information held in memory, such as 'What is subrogation?'

Understanding. Typically involves the question words 'why' or 'how' (or sentence-completions ending in 'because') and requires the linking of pieces of knowledge in simple cause-and-effect relationships, such as 'Why is insurable interest required in a contract of motor insurance?'

Application. The application of knowledge to the solution of a problem, for example, deciding on the most suitable policy for hypothetical clients whose needs have been outlined in the stem.

Analysis. Typically involves a two-step process in which the candidate must consider the data presented and organise or select from it with a view to solving a problem.

These skills are illustrated by sample items which are not drawn from the world of insurance or financial services but which may make clearer the distinction between the skills.

Knowledge:
The river which flows through Gdansk is the:
> A. Elbe.
> B. Neisse.
> C. Oder.
> D. Vistula.

Understanding:
Vitamin D is necessary for the growth of bones because it:
> A. contains calcium.
> B. contains phosphate.
> C. increases the absorption of calcium.
> D. forms calcium phosphate.

Application:
A man sets off to sail alone on a voyage which he expects to last three months. There is no likelihood of his being able to obtain any food during the voyage except fish. He packs adequate supplies of carbohydrate, fat and protein foods and also salt and iron tablets. Which part of the fish that he catches will be of most dietary value to him?
> A. The brain.
> B. The muscle tissue.
> C. The liver.
> D. The heart.

Analysis:
A five-member research group composed of two men and three women is to be selected. At least three people with research experience must be selected. The male applicants are Ken, Bob, Gary and Sam; the female applicants are Mary, Ruth, Anne, Becky and Helen. However:
> 1. Mary and Anne will not serve together;
> 2. Bob and Gary will not serve together;
> 3. Ken and Becky will not serve together;
> 4. Only Ken, Gary, Anne and Helen have research experience.

If Ken is NOT selected, the only other decision to be made is whether to select
> A. Mary or Anne
> B. Mary or Ruth
> C. Bob or Gary
> D. Ruth or Becky

Terminology
It is usual to speak of items rather than of questions. Apart from anything else, this is because the item includes both the question and the suggested answers. The terms used to refer to the components are defined as follows:

Item a multiple-choice test 'question' consisting of a stem and a number of options.

Stem the question which is to be answered; it may be a direct question ending in a question mark, or an incomplete statement. It may include a brief narrative or, more generally, any information which must be provided before the question can be answered; for analytical items this may take the form of a data table.

Scenario a passage, around 200 words in length, which forms the basis for a number of items (typically five). It should not be possible for the items to be answered without reference to the information in the scenario.

Option one of the possible answers to the question posed in the stem; conventionally labelled A, B, C and D.

Key option the correct answer, or the best answer of those suggested; the option which accurately or best answers the problem posed in the stem.

Distractor an option which is incorrect; it must seem plausible to the test-taker but must be clearly incorrect to experts. (Note that this is a potentially misleading term, no attempt should be made to "distract" the candidates by deliberately misleading them.)

Justification a written explanation of how the key option is derived and of why the distractors are incorrect.
 Please see an example below:

Stem: When did the UK leave the EU?	
Distractor: June 201	
Distractor: June 2017	
Distractor: January 2021	
Key: December 2020	

Item Formats
Two common formats used are:
- the single-response multiple-choice question (MCQ)
- the multiple-response multiple-choice question (MCQ)

Each is now described in more detail:
Single-response ("standard format") MCQ
The single-response MCQ consists of:
1. The stem (direct question or sentence completion).
2. May have brief narrative or other information to be processed by the candidate.
3. Four options.
4. One key option (the correct or the best answer).

When the single-response MCQ format is used to test analysis, data must be presented to the candidate. This may be set out as a table if appropriate. For example:
Sarah, a retail investor, wishes to purchase two equity funds, as shown in the following table, with the greatest positive correlation:

	W	X	Y	Z
W	-	+0.8	-0.2	+0.1
X	+0.8	-	+0.4	-0.9
Y	-0.2	+0.4	-	-0.3
Z	+0.1	-0.9	-0.3	-

Which two funds should she purchase?

A. W and X
B. W and Y
C. X and Z
D. Y and Z

In the next example, the data to be analysed is not set out in tabular form but in continuous prose:

Julia, a non-taxpayer, invested £22,000 in a bank account with a fixed-interest rate of 3.21% AER gross for five years. What will be the gross value of the investment at the end of the fixed rate?

A. £24,961
B. £25,531
C. £25,765
D. £26,592

As a general rule, as the amount or the complexity of the data to be analysed increases, the tabular format is preferred because it helps the candidate to process the information.

Multiple-response MCQ

The multiple-response format is not used in every CII unit. It differs in having a variable number of options (typically four or five), of which the candidate must select only those which are true. The candidate receives a mark for the item only if each option which is true has been selected and none of those which are false has been selected. Therefore, this format allows us to test that a candidate knows not just a single fact, but a combination of facts. It follows that the options should be on a common theme and that all options should bear a clear and plausible relationship to the stem.

In the multiple-response format, not all the options should be correct and more than one must be correct.

Example multiple-response item:

A client wants to invest in private equity on a direct basis for the first time. He should be aware that:

A. direct investment into private equity will usually involve a significant capital commitment.
B. the volatility risk will always be higher than investing into quoted equities on a direct basis.
C. the shortfall risk will always be higher than investing into quoted equities on a direct basis.
D. his capital may remain in cash and not be invested for some time.
E. he will not be subject to Capital Gains Tax upon any disposal.

Scenario-based Items

Scenarios are passages of between 100 and 200 words, split into short paragraphs to aid readability. The paragraphs may mark different aspects of client circumstances or of a developing story, but the scenario as a whole should not appear to be a disjointed series of paragraphs; it should flow and tell a single coherent story.

In a given test form, there will usually be five single-response items testing the content of the scenario; occasionally multiple-response items are used.

It should not be possible to answer the items without reference to the scenario. The items may require the candidate to make reference to more than one paragraph of the scenario.

Example scenario:

Wayne, aged 35, and Cheryl, aged 33, are married. Wayne owns an estate car and has a standard comprehensive private motor insurance policy which includes cover whilst he is driving other cars. The policy, which covers both Wayne and Cheryl to drive the vehicle, is subject to a voluntary excess of £100.

As Wayne only passed his test in the last year, there is an additional compulsory excess of £150 whilst he is driving.

Cheryl drives a small economy car and has a standard third party, fire and theft insurance policy. The policy, which only covers Cheryl to drive the vehicle, is subject to a compulsory excess of £150. On 1 November, whilst driving her car, Cheryl had an accident involving another car which was her fault. Both of the cars were damaged and there was injury to occupants of the third-party vehicle.

Cheryl also owns a moped for shopping trips, which is covered under a comprehensive insurance policy. Recently, Cheryl left her moped in a supermarket's private car park while she was shopping. She returned to find the moped on its side and badly damaged.

Cheryl's insurance is currently arranged by a high street broker with a traditional insurer.
This scenario might be tested by questions such as:
- Following Cheryl's car accident, for which vehicle(s) will her insurer pay to be repaired?
- What is most likely to be the course of action taken with regard to repairing Cheryl's moped?

However, the following question should not be used:
- Cheryl is considering changing her insurer. What would be the main advantage of arranging cover over the internet?

This would not be an acceptable question because it is probable that the candidate would be able to answer it without referring to the scenario.

Please note that the above examples are presented as outline questions without options.

In practice, writers may be asked to prepare a longer scenario with more than five items. This allows the CII test co-ordinator to use the same scenario – edited down to the required length – in different test forms and with a different set of items. This helps to ensure consistency of difficulty between parallel test forms.

How Tools Relate to Tasks

1. Single-response MCQs tend to be used for testing knowledge, understanding and application;
2. Single-response MCQs may test analysis if the candidate is presented with data to be processed before a problem is solved;
3. Multiple-response MCQs tend to be used for testing application or analysis.

Writing Items
The item-writing task is usually to produce a given number of items prepared by a committee by a specified date. Some items may be written quickly and successfully; others take time, and several revisions may be necessary. All items will benefit from at least one reappraisal before submission, and several writing sessions will usually be needed in order to fulfil an item-writing committee satisfactorily. It is much better to work at the items for odd periods of an hour or so, rather than attempting to complete the task in a single day.

The main feature of the instructions for item writing is the specifications of the items to be written. Writers need to know as much as, and preferably more than, a successful candidate knows about the topics to be tested but should always bear in mind the likely extent of a candidate's knowledge. Writers should not be too clever and never tempted to amuse themselves at the candidate's expense by including distractors whose subtlety the candidate is in no position to appreciate.

Writers should be aware of the instructions given to test takers. They are instructed to choose only one of the options A, B, C or D in single-response MCQs and to select only those statements which are true in multiple-response MCQs.

Writers should bear in mind that candidates have typically one minute on average in which to read and answer each item.

Items are intended to test important aspects of their job and should be perceived as relevant by the candidate. Items should not be too involved and the problem should be presented as simply as possible. This is more likely to be achieved if the stem sets a specific task and if vague expressions are avoided. Convoluted sentences that do not bring a candidate rapidly to the point of the question are not welcomed.

Every item must conform to specifications, usually a position in a specification grid (subject content and skill).

Item Writing Stages and Rules
Three item writing stages and three corresponding sets of rules are presented below.

The approach to item-writing which is offered here is one from which novice writers have been found to benefit. Not all writers will find this a useful way of working and with experience each person develops a strategy of his or her own. However, the discipline of the suggested method may help writers to avoid some of the common mistakes which lead to a large number of items being rejected in the early stages when they are learning their craft.

Stage 1: Write down the basic elements: stem and key option
1.1 Write down the basic idea.
1.2 Check that the basic idea meets the item specifications, for example the content and the skill to be tested.
1.3 Write down or edit any separate narrative or data table.
1.4 Write down the stem and key option as a whole. The dividing line between the stem and the key option can be determined later, although it is useful at this stage to have an idea of where the division will occur.

Rule 1: Test the subject - avoid trivia and irrelevancies
1.1 Test topics which are clearly in the syllabus. The topic should be seen as relevant and/or interesting.
1.2 Test one topic only or focus on one particular problem.

1. Do <u>not</u> test unnecessarily complex reasoning or use language which is unnecessarily sophisticated. For example, it is generally best to avoid negatives (where used, negatives should be emphasised, for example using capital letters). Write the item as clearly, simply and unambiguously as possible.
2. Do <u>not</u> test <u>only</u> the ability to read off the required information from data which is presented as a stimulus. Some additional ability must be used by the test taker in finding the answer.

Stage 2: Write down the options
1. <u>Consider</u> possible wordings of the stem and the correct option and fix on the dividing line between them. <u>Check</u> that the stem sets a specific task (usually, but not always, as a question rather than as an incomplete statement).
2. <u>Write down</u> the distractors (incorrect options).
3. <u>Check</u> that the distractors are plausible and unambiguous.
4. <u>Check</u> that the options are mutually exclusive.

Rule 2: Make the options parallel and plausible
1. <u>Check back</u> to ensure that this stem sets a specific task. The stem must set a specific task if parallel and plausible options are to follow naturally. 'Which one of the following statements is true of X?' is <u>not</u> sufficiently specific.
2. <u>Check</u> that the options are parallel in their content, in what they refer to, and in style of presentation. There must be some logical cohesion across the options in an item. Options should read independently of each other; to understand one, it should not be necessary to have read another.

3. Options must be plausible and unambiguous. Ambiguous 'key' options may be partly incorrect and cause anxiety to test takers. Ambiguous 'wrong' options (distractors) may be partly correct and therefore plausible to well-prepared test takers. Vague expressions, e.g. 'young age group', often cause problems because they are open to different interpretations.

4. Options must be mutually exclusive (for example, an option 'over age 16' includes the option 'over age 18'). 'All of the above' and 'none of the above' are not acceptable as a response. Avoid options or statements which say the same thing in different ways. If they are not mutually exclusive, there will be internal logical clues to the correct answer.

Stage 3: Edit for final submission

1. <u>Check</u> the stimulus and stem.
2. <u>Check</u> the options.
3. <u>Check</u> the overall layout and <u>check</u> that there is no bias which could prove sensitive.
4. <u>Check</u> that all the wording is unambiguous and that the key option, and <u>only</u> the key option, is correct.

Rule 3: Put the item aside and make a final check later

1. <u>Check</u> that any stimulus is edited in a way which is consistent with the skill being tested and the problem posed in the stem. The stem should be as helpful as possible. <u>Check</u> whether the stem would be better in question form or in sentence completion form.
2. The options should be arranged in as helpful and as consistent a manner as possible. Numerical options, for example, should be in ascending order, and proper names and single word options should usually be in alphabetical order (but months of the year, for example, should be in chronological order).
3. The entire item should be set out as helpfully as possible. The item must be free of statements or descriptions that directly or indirectly express sexual, racial, or any other extreme bias.
4. There should be no ambiguities and the key option must be the only possible correct answer, according to subject experts.
5. Avoid "teaching" in the stem: providing information or giving a definition without which, the candidate might not be able to answer the question. For example, questions such as "Insurers often make use of an electronic data exchange. What is the purpose of this?" should be avoided.

Presentation style

To assist those editing items, and those taking the test, it is important that items be presented in a clear and consistent format. The main rules of style are given below.

Where the stem is an incomplete sentence to which the options are offered as alternative endings, each option should begin with a lower-case letter and end with a full stop.

e.g. In relation to general insurance, to be insured a risk **must** be:

A.　　avoidable.
B.　　fortuitous.
C.　　inevitable.
D.　　unavoidable.

Options which are complete sentences should begin with a capital letter and end with a full stop.

e.g. What is an excess?

A.　　The additional premium following an adjustment to a policy.
B.　　The amount payable by the insured in the event of a claim occurring.
C.　　The amount reserved for a claim.
D.　　The return of premium to the insured if overpayment is made.

Options which are neither complete sentences nor completions of sentences should begin with a capital letter and end with a full stop.

> e.g. Who carries the credit risk when a premium is paid in instalments using third party premium financing?
>
> | | |
> |---|---|
> | A. | The broker. |
> | B. | The finance company. |
> | C. | The insurer. |
> | D. | The policyholder. |

Options should be arranged in a logical order. Obvious examples of this are amounts of money (to arrange in ascending value) and dates (to place in chronological order). Other examples are the stages in a process, such as applying for a financial services product, which should be placed in the correct sequence. Where no logical order exists, options should be arranged in alphabetical order, especially if the options are relatively short.

Item Editing

Item editing is something which the item writer carries out in revising their items and which a group of editors carries out when considering items for banking. The following material on item editing should therefore be relevant to both stages.

Preparing the Items for the Editing Meeting

If items which are to be edited are circulated in advance of the meeting, reviewers should ideally correct failings in surface features such as presentation style.

Items should be accompanied by any information which will help editors to evaluate them. This typically includes the indicative content reference number (e.g., 1.3.4) and a justification (where appropriate).

The key (correct answer) is not revealed to editors. If editors see the answer they will tend to accept the item more readily than if they have to work it out for themselves. If they choose a distractor as correct and can put forward a good justification for that choice, there would obviously seem to be something wrong.

Editing in Advance of the Meeting

Editing meetings are time consuming (10 items take about an hour to edit) but they can be valuable especially when starting a new bank. Where there is insufficient time for editing, candidates experience difficulties in responding to certain items, due to ambiguities, incomprehension and incorrectness, whereas tests consisting of items that have been thoroughly edited do not produce such problems. This is a salutary lesson of the effectiveness of editing and indicates that the task of item writing and test setting is not as easy as may be imagined!

Editors need to put aside enough time to work through all the items which have been allocated to them prior to any meeting. They will have to think about items, make notes of any defects, and if possible, think of improvements. Unless they have done this, you will not make a useful contribution to the meeting. Few people are sufficiently good editors that they can make helpful spontaneous comments.

Editing meetings themselves are time-consuming, but the preparatory work can take just as long. A day's meeting will require four hour's preparation time. There may be items editors 'don't like' or 'aren't happy about', this reaction is understandable but not very constructive.

Editors are asked to complete a checklist to make sure you have gathered your thoughts before the meeting. This is an example of a part of such a checklist:

Question Number	Learning Outcome	Key Option	Stem	Distractors	Clue to/Overlap	Comments

Example	ü	A	û	û	Possible overlap with Qu. 7	Stem unfocused: suggest "Who is automatically entitled to claim back half the Income Tax deducted under a building society high interest savings account? For option B suggest: Customers completing an R85.
1						
2						
3						
4						
5						

This is to be completed as follows:

- Place a ü in the 'Learning Outcome' box if you consider that the item is central to the syllabus learning outcome stated (e.g. 1.1);
- Indicate in the 'Key Option' box the correct response to each item;
- Place a ü in the 'Stem' box if you consider that all the information required to answer the problem posed is provided in the stem in a clear and precise form;
- Place a ü in the 'Distractors' box if you consider that the distractors are not correct responses to the problem posed by the stem, but are nonetheless plausible;
- If you are unable to place a ü in either the 'Stem' box or 'Distractors' box, please explain why in the 'Comments' box (e.g. stem not focused, options not parallel, options not mutually exclusive, two correct options). In such cases, **please suggest alternative wording to stems and/or options.**

Evaluating the Items

A number of criteria have been developed for the acceptability of multiple-choice items and most of these are widely agreed and employed. Editors are therefore asked to check that items conform to the following code of good practice. Of course, good items are not created by rules, and mediocre items may conform to rules yet still be unsatisfactory; but the rules should be our starting point.

Those who are new to the work of multiple-choice editing are inclined to find the item writing conventions rather elaborate and fussy and are also inclined to wonder whether any of this matters. Why not just think of a question and a few options? There are two reasons. Observing the rules leads to items which will withstand the scrutiny of anyone who may evaluate the test and generally leads to improved item performance when the items are tried out on candidates.

Consider whether the item meets the following criteria:

a. **Does the stem pose a clear problem?**

The stem must set a specific task if parallel and plausible options or statements are to follow naturally. This tends to be more of a danger with sentence completion than direct question formats.

'An insurance company' or 'In dealing with property insurance' is <u>not</u> sufficiently specific as a stem. Brevity alone is not a failing: 'ABI regulates' is an adequate stem and given the required level of knowledge you could supply the missing key.

b. **Does the item address a single problem?**

Test one topic only or focus on one particular problem. There are lots of items in a test; no need to make them do double duty.

c. **Is the item clearly understandable by the intended group of candidates?**

Is it written in clear and simple language, using only terminology with which the candidates will be familiar and avoiding complex syntax? Does it clearly come to the point? Is the use of direct question appropriate here, or would it work better as a sentence completion? (Or vice versa, of course).

d. **Does the item test an important fact or concept, avoiding a trivial point?**

e. **Does the item test something which has been included in the syllabus?**

In particular is the point being tested central to the syllabus, or is it a peripheral or 'fine print' point?

f. **Does the item address the intended skill level?**

For example, does it require more than the recall of facts if it claims to be a test of the application of knowledge?

g. **Is there one, and only one, clearly correct or best answer?**

h. **Has the item-writer avoided the use of 'none of the above' and 'all of the above' as options in single-response MCQs?**

i. **In multiple-response MCQs, is there at least one incorrect option and more than one correct option?**

j. **Are there any words which are included in each option and which, without loss of clarity, could be included in the stem?**

k. **Have any negative words or words of exclusion been emphasised, e.g. by the use of upper case letters? (E.g. Nadia is NOT…)**

l. **Have the options been arranged in a logical order, if one exists, or in alphabetical order?**

m. **Are there unintended clues to the key?**

Is the key the longest and most complete/complex option? Is the key more qualified than the distractors – and particularly, do the distractors avoid words like 'always' and 'never'?

n. **Are all the options plausible to candidates who lack the knowledge or ability to solve the problem posed by the stem?**

o. **Are the options independent and mutually exclusive?**

p. **Is there any bias which could prove sensitive?**

For example, excessive or systematic use of the male gender to signify an undefined person.

Item Quality Assurance Checklist

		YES/NO/NA
1	Is the item central to the learning outcome?	
2	Is the item at the correct skill level (e.g., knowledge, understanding)?	
3	Is the item at the right degree of difficulty for the target candidates?	

4	Is the stem focused?	
5	For standard format items, is the key option the only possible answer from the stem provided?	
6	For multiple-response items, are there at least two key options? (Note: not ALL the options should be correct).	
7	Is the wording clear and unambiguous?	
8	Are the distractors plausible but incorrect?	
9	Is there any element of subjectivity?	
10	Are the options parallel?	
11	Are the options mutually exclusive?	
12	Are the options arranged in a logical order?	
13	Do the stem and options avoid the use of stereotypes and bias?	
14	Do the items capture a broad range of genders and cultures? (When submitting/reviewing a number of items).	
16	Are there a sufficient number of questions in the question bank to stop over exposure of items?	

The Editing Meeting

As each item is considered, the group should agree quite quickly which of the following categories it falls into:

- acceptable
- minor revisions necessary
- requiring major re-write/reject

Discussion should be derived in the first place from comments which editors have made in the preparatory work, although fresh insights will emerge in the course of discussion.

Minor revisions should be dealt with during the course of the editing meeting. The time spent on this should be controlled. For example, the meeting may agree that the item is fine but that option D needs re-wording. Doing so may prove less easy than suspected or may lead to the need for consequential changes to another option. The meeting should not let a 'minor revision' drift into a 'major re-write'. Items written by committees are unlikely to be among the best and it is more efficient to let one person re-write an item than to have six people to discuss it at any length. The group may agree a rule of thumb, such as, 'if we spend more than five minutes discussing any item it should be rejected or re-written'.

If the recommendation is to re-write it may be helpful to give guidelines which are agreed in discussion, but the onus is generally on the writer to come up with a better item. (There is, of course, no guarantee that re-written items will be accepted but the attempt to re-write an item is often a useful exercise in helping item writers to develop their skills.)

Collect, or confirm deletion, of all copies of the items which have been distributed, in order to ensure that they remain secure. This will make sure that the definitive version is accepted and unambiguous.

Form Review Meeting

Items which are accepted by the editing meeting will be "banked". From this bank, the unit co-ordinator will pick a "form" (one of a number of versions of the test in use at a given time). This form will then be reviewed by subject-matter experts.

The emphasis at this meeting is less on the accuracy of individual items (which should have been established at the editing meeting, though it can be confirmed here, than on the overall balance of the form), taking account of points such as the overlap of items, one item giving a clue to the answer of another and duplication of subject matter.

Participants are asked to complete a pre-meeting checklist which is similar to the one illustrated above for the editing meeting.

Technical Check

Once the form has been reviewed it is sent for a final technical check on the accuracy of the items.

Scrutineer

As part of the development of new units, the form may then be sent to a scrutineer, who is a subject-matter expert who has not been involved in the previous stages of the development of the form. The scrutineer is asked to answer the test as a candidate; without reference materials, and within the time allowed. The answers which the scrutineer gives, and it is expected that he or she will answer most items correctly, and any comments made will be used in a final consideration of the form's suitability.

Standard-Setting & Maintenance

Many methods of standard setting & maintenance are well documented with information readily available online.

Methods include but are not limited to:

- Bookmark method
- Angoff
- Modified Angoff
- Linear equating

Recognised and appropriate method(s) should be used.

Statistics Review

Items and forms should be evaluated at an appropriate frequency. Evaluation is primarily statistical known as "item analysis" though it may take account of feedback (or complaints) received from candidates. Item analysis is the analysis of responses to multiple-choice items. The performance characteristics of individual items is described in two main ways: the *facility* and the *discrimination*.

Facility Values

The facility value of an item is usually expressed as the proportion of answers to an item which are correct. For example, if 75% of candidates answer correctly, we would say the item had a facility of 0.75. More generally we speak of the *p-value* of each of the four options, calculated as the proportion of candidates who choose that option. It is therefore the p-value of the key or correct option which is known as the item's facility. P-values range from 0 (not chosen by any candidate) to 1 (chosen by every candidate).

Discrimination Values

While discrimination on many grounds has been made illegal, in assessment it is of fundamental importance to discriminate between competent candidates and those who have not yet reached competence. Put simply, an item is said to discriminate well if those who answer it correctly do well on the test as a whole and those who answer incorrectly do less well. Technically, we calculate the point-biserial correlation coefficient between choice of an option by each candidate and that candidate's total score on the test. Discrimination values range from -1 to +1, although in practice the range of observed values is much less, being typically between -0.4 and +0.4. Negative values for the key option are disturbing, indicating that the weakest candidates have chosen the key, while the strongest candidates have chosen one of the distractors.

Sample Item Analysis

This may be illustrated by the following example taken from an item analysis. The asterisk following the letter C indicates that it is the key option. 67% of the 141 candidates who have taken the test in its current form chose C (answered correctly), which means that the item's facility is 0.67. Only 6% have chosen D, which means that its p-value is shown as 0.06.

Whether or not a facility of 0.67 is "good" is dependent on the nature of the question and the examiners' expectations. If, for example, the item tested a fundamental point of the syllabus, one might be surprised that only 67% of candidates answered correctly, and this in turn might prompt a closer scrutiny of the item to see if some aspect was making it harder than intended or expected.

The discrimination (point-biserial correlation) on the key option C is positive and its value of 0.20 is considered to be just adequate. The discrimination values of all three distractors are negative, which means that the weaker candidates chose the incorrect answers, which is what we should expect.

1 Question		A	B	**C***	D
No Sat Item: 141	Proportion (P Value)	0.10	0.17	0.67	0.06
	Point Biserial Correlation	-0.19	-0.07	0.20	-0.04

Some further examples follow:

3 Question		**A***	B	C	D
No Sat Item: 141	Proportion (P Value)	0.52	0.30	0.06	0.11
	Point Biserial Correlation	0.17	-0.12	-0.17	0.04
17 Question		A	B	C	**D***
No Sat Item: 141	Proportion (P Value)	0.13	0.07	0.13	0.65
	Point Biserial Correlation	-0.29	-0.15	-0.19	0.43
20 Question		**A***	B	C	D
No Sat Item: 141	Proportion (P Value)	0.15	0.45	0.28	0.13
	Point Biserial Correlation	0.21	0.06	-0.05	-0.25
24 Question		A	**B***	C	D
No Sat Item: 141	Proportion (P Value)	0.04	0.85	0.09	0.01
	Point Biserial Correlation	0.00	0.30	-0.33	-0.08
27 Question		A	**B***	C	D
No Sat Item: 141	Proportion (P Value)	0.30	0.23	0.37	0.11
	Point Biserial Correlation	0.02	0.14	-0.07	-0.11
28 Question		A	B	**C***	D
No Sat Item: 141	Proportion (P Value)	0.17	0.03	0.75	0.05
	Point Biserial Correlation	-0.30	-0.15	0.38	-0.13
29 Question		A	B	**C***	D
No Sat Item: 141	Proportion (P Value)	0.00	0.11	0.86	0.03
	Point Biserial Correlation	0.00	-0.38	0.35	-0.01
30 Question		A	**B***	C	D
No Sat Item: 141	Proportion (P Value)	0.13	0.55	0.09	0.23
	Point Biserial Correlation	-0.18	0.50	-0.19	-0.34
33 Question		**A***	B	C	D
No Sat Item: 141	Proportion (P Value)	0.44	0.09	0.43	0.04
	Point Biserial Correlation	0.37	-0.14	-0.31	0.01
35 Question		A	B	**C***	D
No Sat Item: 141	Proportion (P Value)	0.08	0.03	0.27	0.62
	Point Biserial Correlation	-0.15	0.09	0.25	-0.18
36 Question		A	B	**C***	D
No Sat Item: 141	Proportion (P Value)	0.35	0.13	0.40	0.11
	Point Biserial Correlation	-0.04	-0.20	0.23	-0.08

Constructed response exams guidance

Setting the Constructed Response Exams

Standards

The CII examinations are syllabus-led. It is important to ensure that each question falls clearly within the syllabus. Each test instance should assess candidates' knowledge and understanding of the learning outcomes specified in the syllabus; they should be set and marked to reward candidates who demonstrate the required knowledge, skills and abilities.

The general principles are that short answer questions test technical knowledge and understanding whilst case-study based questions test the application of knowledge.

The syllabus

Question writers must be familiar with the syllabus and, where applicable, how the subject has been examined previously. Therefore, they should have reviewed copies of past papers and the current syllabus before preparing to write questions. Many candidates prepare for these examinations using self-study methods and it is unfair to change the style or format of a public examination paper that contributes to a professional qualification without giving notice of the intention to do so. When such changes are made a specimen question paper in the revised format must be provided.

The syllabus areas and the learning outcomes to be examined in the testing period are set out in the syllabuses. The Senior Examiner will identify the core and peripheral knowledge for each learning outcome and the weighting of marks. It is important that questions based on topics that cover peripheral areas do not form the major part, or focus, of a case-study question or account for a high percentage of the overall marks on a paper.

The question writer is therefore constrained in the style and type of question they may devise; the format is indicated in previous question papers and exam guides.

The test specification

A test specification for the examination should be used to ensure balanced coverage of the syllabus.

The test specification for a particular instance of a test should identify the learning outcomes and the points to be covered in each question. Question writers must adhere to the Test Specification and the guidance contained within this document.

Drafting questions

- When drafting questions, please be careful in the choice of **instruction verbs**. Verbs such as 'Explain', 'Calculate', 'State', and 'List' indicate to the candidate the approach they should take in answering the question. For example, please do not begin a question with 'State', when the marking scheme indicates that all, or most, of the marks are awarded for explaining, rather than stating. Question instruction verbs and their meanings are provided later in this guidance.
- Mark allocations for questions should be indicated in the examination for candidates and they should be advised to allocate their time accordingly. Please bear this in mind when drafting questions and allow candidates 'thinking time' as well as time to write their answers. The time spent reading the question and the marks available should be balanced by the length of answer expected by the examiner.
- Show the marks for each part of the question when the question is sub-divided into (a), (b) etc.
- Where the same topic is tested, do not copy previous examination questions and do not use sample questions in the examination.

- Do not test candidates on legislation which is not relevant to the testing period as specified on the syllabus.
- Ensure any arithmetic calculations are covered by the syllabus and can be completed within the time allowed. The arithmetic involved should be thoroughly checked.
- Wording should be precise and concise. Do not pad questions with irrelevant or unnecessary material. Shorten long sentences where appropriate to aid clarity and readability.
- Use punctuation correctly; a comma properly placed can greatly improve clarity.
- To avoid confusion, it is recommended that numbers from one to nine should be written out, rather than using numbers.
- Avoid colloquialisms, jargon or any words not likely to be readily understood by overseas candidates; also avoid offensive stereotypes in questions.
- Appropriate 'instruction' verbs should follow the format of Bloom's Taxonomy (further detail below) or similar.
- Ensure that you use the correct wording for a question that asks for a list. It should state: 'List the …' if there is a list of six or 'List six …' if there is a list of more than six but only six items from the list are asked for.
- Do not set trick questions. A question should be a straightforward test based on the syllabus and should be designed to test a candidate's competency in answering the question. Do not devise unusual situations which you, as an experienced practitioner, would reflect upon for several days and would perhaps consult a colleague about.
- When you have drafted a question and before you allocate the marks, draft the marking scheme. This will indicate whether the question is the right length, deserves the mark allocation you have in mind and tests what it is intended to test.

Drafting marking schemes

A marking scheme showing the schedule of marks must be submitted with the question(s). It is essential for both the review and editing of questions and the marking of scripts.

The marking scheme must be drafted in a suitable format. It is a working document and candidates' answer books are more likely to be marked to the same standard irrespective of which examiner marks them if the marking scheme is clear and easy to follow.

The marking scheme is just as important as the question itself and you should devote as much care and attention to preparing the marking scheme as you do to drafting the question to which it relates.

The marking scheme should precisely answer the question asked.

If you find that the question and marking scheme do not match, decide whether to alter the marking scheme or the question. Altering the question will often be the better course of action.

The number of marks allocated on the marking scheme should total the available marks for that question or have a 'MAX' mark indicated.

Where an answer takes the form of a calculation, it is customary to adopt a system of allocating method marks and accuracy marks to distinguish between those that employ the correct method and gain the correct answer, and those that use the correct method but gain the wrong answer. Candidates who use the wrong method should not be given any credit, but where a wrong figure is transcribed, the candidate should only be penalised once, providing the same figure is used in the follow through calculation.

Where there are a wide variety of acceptable ways of answering a question, the marking scheme must be constructed to accommodate the diversity of possible answers. Where there are two or, at most, three

approaches to answering a question, the marking scheme should show how each approach should be marked, allowing for the same number of marks for each correct alternative answer.

When assigning individual marks, you should try to do so consistently throughout the question. Some points or stages in the development of an answer may be worth more marks than other points because they are more complex or demanding in some way. Bear in mind that whether a candidate passes or fails depends on the TOTAL number of marks gained in the whole examination, irrespective of which marks these are.

It is therefore essential that marks are awarded throughout the whole examination on an equitable basis as far as possible.

Your marking scheme should allow the examiner to award marks on a positive basis. Marks must not be deducted for errors or omissions.

Do not use fractional marks, use whole marks only.

Checklist for Question Writers

After compiling the question and marking scheme, the question writer should review the question and marking scheme against the criteria shown below. It should be possible to answer 'yes' to these questions if the question and marking scheme are satisfactory. If, however, the question writer is not able to answer yes for any of the questions, they should review the question and marking scheme and make the necessary changes.

Each question and marking scheme submitted must be accompanied by a completed checklist.

Name: .... **Unit:** ....

Syllabus areas: e.g. (1.1, 3.4, 5.2) .... **Study text ref:** ....

The Syllabus Content and Format of Question	Question writer	Senior
• Is this question clearly in the syllabus?		
• Are all areas in the test specification covered?		
The Question – Language and Presentation		
• Is the question easily understood?		
• Have instruction verbs such as 'explain', 'calculate', 'state' been used thoughtfully? (For example, the question shouldn't ask the candidate to 'state' when the marking scheme makes it clear that the candidate must 'explain')?		
• Is the language as simple and straightforward as possible and free of jargon?		
• Does the question include all the details necessary to answer the question in full?		
The Marking Scheme		
• Do all the points on the marking scheme answer the question asked?		

Does the marking scheme show clearly where each mark is awarded?		
Does the marking scheme have the same number of marks as stated in the question or, if a greater number of marks available, has a 'max' mark been clearly indicated?		
Is the marking scheme consistent with past exam papers, if applicable, in its application?		
Does the marking scheme allow for possible valid alternative answers?		

Common Pitfalls in Question Writing

- Writing questions which reproduce a list of facts. This is more a test of memory recall rather than a true test of the candidate's knowledge.
- Writing the question as a question, rather than using an instruction verb. For example, "What do you understand by…", "What would you do…", "What do you consider to be…" These should be avoided as they are subjective in that they imply a candidate's understanding of a topic coincides with fact. A better form of words is "Describe what is meant by…", "Explain what you should do…" etc.
- Writing a question such as "List the four most important features of…" requires the candidate to make a value judgement about a list of features for which there is not necessarily an obvious ranking. "List four key features of…" gives both examiner and candidate more scope and flexibility.
- Writing questions from the information in the study materials that merely explains the background to a particular topic but is not within the syllabus. It is important to distinguish information which is within the syllabus and therefore examinable from information which is there to assist the learning process only.

If in doubt the guiding principle should always be the syllabus.

Information included in the stem/case study which is unnecessary to answer the question and red herrings should be avoided.

Bloom's Taxonomy

The CII, like many other educational bodies, uses Bloom's Taxonomy as the basis of its exam questions.

One of the most difficult features of setting exam questions is to translate the abstract skill the candidates are required to demonstrate into a concrete question that is easily understood. Bloom's Taxonomy gives a practical framework as to how this can be achieved.

It is important examiners have a clear idea of the learning outcome and skill they want the student to display in their answer to a question.

As students, it is much easier to study using appropriate strategies if they understand the type of questions that will appear in exams.

One of the most common issues with exam technique is mis-interpreting a question. As well as the technical aspect of what is being asked, candidates have to understand what they are being asked to do and how they are expected to answer a question. When the skill requirement of a question is clear candidates are in a position to give a much stronger answer.

This table shows the six broad levels of Bloom's Taxonomy and the skills demonstrated:

Competence	Skills Demonstrated	Instruction Verbs
Knowledge	observation & recall of information knowledge of dates, events, places knowledge of major ideas mastery of subject matter	*list* *state* *identify*
Comprehension	understand information grasp meaning translate knowledge into new context interpret facts, compare, contrast order, group, infer causes predict consequences	*describe* *summarise* *compare* *outline*
Application	use information use methods, concepts, theories in new situations solve problems using required skills or knowledge	*calculate* *differentiate*
Analysis	see patterns organise parts recognise hidden meanings identify components	*explain*
Synthesis	use old ideas to create new ones generalise from given facts relate knowledge from several areas predict, draw conclusions	*plan/prepare*
Evaluation	compare and discriminate between ideas assess value of theories, presentations make choices based on reasoned argument verify value of evidence, recognise subjectivity	*recommend* *assess* *give reasons* *justify*

Example Question Instruction Verbs				
list	state	identify	describe	summarise
compare	outline	calculate	differentiate	explain
plan/prepare	recommend	assess	give reasons	justify
define	discuss			

Appendix

Question Instruction Verbs Used and their Meaning

Here are some of the question instructions used most frequently, with explanations of their meaning.

List

This means state a series of items in concise form, without explanation.

Example question

List the different costs associated with arranging the mortgage.

Candidates should write just enough to identify each item without further comment.

State

This means give the relevant points without elaboration and preferably in a logical sequence.

Example question

State the advantages and disadvantages of a term assurance policy for Nicola.

Candidates should set out as separate points each advantage and then each disadvantage. Discussion or comparison of relative merits is not required here.

Identify

This means pick out, state and give reasons for your choice.

Example question

Identify, giving reasons, any errors and inconsistencies in the information provided.

Candidates should state all the errors and inconsistencies they can find and for each one give at least one reason why they have selected it.

Describe

This means give all the relevant characteristics of something.

Example question

Describe three types of protection policy which Clare could consider.

Candidates should set out, as separate points, all the relevant features of three types of suitable cover.

Summarise

This means express concisely the relevant details.

Example question

Briefly summarise the options that a risk manager has when financing a risk.

Candidates should give a brief presentation of the main points or statements, leaving out minor details, illustrations and explanations

Compare

This means give an account of similarities and differences between two, or more items.

Example question

Compare the similarities and differences between major medical expenses and private medical insurance cover.

Candidates should examine the items given or selected with the intention of relating similarities and differences between them.

Outline

This means give a framework description, omitting the minor characteristics.

Example question

Outline the advantages of each contract to Mike.

Candidates should state the key advantages to Mike of each contract in turn.

Briefly

This means give a short, concise answer stating the key points.

Example question

Explain briefly how investment trusts are taxed.

Candidates should state the main facts (seven marks were allocated for the above question), so it is likely that a good answer will contain six to eight points. See also **Outline.**

Calculate

This means use numerical data to work out the required result.

Example question

Calculate, showing all your workings...

Candidates should always write down their workings because the majority of marks are usually allocated for demonstrating that they understand the method, rather than their mathematical proficiency.

Differentiate/Distinguish

This means to recognise the difference between items.

Example question

In relation to marketing, distinguish between:

(a) impersonal communication methods;

(b) personal communication methods.

Candidates should give reasons, both for and against, with details and supporting evidence.

Explain

This means to make something clear or easy to understand by describing or giving information about it.

Example question

Explain the term 'clash' when used in the context of reinsurance.

Candidates should add detail to the description by examining and identifying reasons for the information stated.

Plan/Prepare

This means to combine ideas, facts and knowledge, usually ordered in phases or steps, in order to reach a conclusion.

Example question

Plan a report for the Security Committee explaining the following points, giving your reasons...

Candidates should produce a detailed plan, or method, worked out for the accomplishment of an objective.

Recommend

This means based on the information given, suggest suitable solutions.

Example question

Recommend from the product list a portfolio of products that would meet Mr Thompson's requirements, stating the amount to be invested in each product.

Candidates should set out their suggested products clearly identifying each, with their proposed amount to be invested in each and an overall total.

Assess

This means evaluate the importance or worth of something.

Example question

Assess the differences between summary and formal proceedings.

Candidates should analyse the issue or problem and then weigh up the relative importance of different strands.

Give Reasons

This means explaining why you have made a choice based on reasoned argument.

Example question

For each product you have selected give clear reasons for your choice.

Candidates should set out, as separate points, a number of reasons why they have chosen each specific product. General points, for example, 'these products will provide a balanced and tax efficient portfolio' will not gain marks. See also **Identify** and **Explain**.

Justify (a recommendation or an amount)

This means give specific reasons why you have selected certain products.

Example question

For each of the product types that you have selected, justify your recommendations and the amounts of the investment.

Candidates should give reasons for their selection of each product and at least one reason for the amount they have chosen for each product. See also **Give Reasons**.

Proofing

After a test is compiled, it needs to be proofread and checked to ensure it is free from error.

Final Proof Example of a Quality Assurance Checklist

Front

1. Check correct date.
2. Check title.
3. Check time allowed.
4. Check instructions.

Throughout

1. Check font and font size is appropriate.
2. Check spelling using spell check.
3. Check sections and the marks allocated to each are correct.
4. Check total marks awarded for the paper.

5. Check time spent on each section/question.
6. Check that the appropriate rubrics/instructions are used at the start of each question part.
7. For calculation questions only, if marks are awarded for workings, then the question should include the instruction in bold, '**showing all your workings**'.
8. Check that all the questions are correctly numbered.
9. Check the marks for each question part have been entered correctly, add up to the total and are positioned correctly. (Confirm with marking scheme.)
10. Check question instruction verbs (Blooms) are used for each question (where possible).
11. Where there are question parts check that if, say, 3 marks are awarded for that question part, that the question asks for 3 examples (to avoid for example, question asks candidates to provide five types of risks …. but only awards 3 marks).
12. Check any totals in tables of figures are added up correctly.
13. Where a paper contains questions which have varying numbers of marks, check that the total number of marks allocated to the questions adds up to the correct total (check with rubric).
14. Check that where a specific number of points are requested, the number should be in bold such as, list **three/state five/two** examples for each type.
15. No comical or offensive names used.

Complaints & Appeals Policy and Procedures

All centres are required to have their own complaints and appeals policy and procedures. If a learner has a complaint and/or appeal relating to the results of assessments or decisions regarding Reasonable Adjustments and Special Consideration, they must follow their centre's own complaints and appeals policy in the first instance. After all options within the centre policy have been exhausted, if the learner is not satisfied with the outcome, the centre should refer the learner to the CII. Please note that appeals relating to decisions *relating to any action to be taken against a learner or a centre following an investigation into malpractice or maladministration must be made to the CII.*

Please see below the links to the CII Complaints & Appeals Policies:

1. Complaints - https://www.ciigroup.org/en/about-us/cii-complaints-policy/
2. For Appeals relating to:

   (a) the results of assessments,

   (b) decisions regarding Reasonable Adjustments and Special Consideration

   https://www.cii.co.uk/learning/qualifications/assessment-information/after-the-exam/post-results-services/

   New link below:

   https://www.cii.co.uk/learning/qualifications/assessment-information/after-the-exam/post-results-services/

3. For appeals relating to "decisions *relating to any action to be taken against a learner or a centre following an investigation into malpractice or maladministration",* the disciplinary appeals process is in the Rules and Regulations section here: https://www.cii.co.uk/about-us/professional-standards/disciplinary-and-appeals/

Complaints Process

All CII approved centres must have their own complaints policy in place to refer their candidates to, and related procedures.

Regulatory Requirements

The centre policy must meet the regulatory requirements set in the Ofqual Handbook:

Condition D4: Responding to enquiries from Users of Qualifications:

'*D4.1 An awarding organisation must answer accurately, fully and within a reasonable time any reasonable enquiries received by it from Users of qualifications.*

D4.2 Nothing in this condition obliges an awarding organisation to disclose information if to do so would breach a duty of confidentiality or any other legal duty.

Complaints procedures

D4.3 An awarding organisation must establish, maintain, publish and at all times comply with a written complaints procedure.

D4.4 The complaints procedure must in particular include procedures and timescales for –

      (a) responding to complaints, and

      (b) dealing with the subject matter of complaints.'

The policy should comply with all relevant legislation including, but not limited to, data protection legislation.

For an example of a complaints policy, please refer to the CII Complaints Policy which can be found here:

https://www.ciigroup.org/en/about-us/cii-complaints-policy/

Appeals Process

All CII approved centres must have their own appeals policy in place to refer their candidates to, and related procedures.

Learners should exhaust all options under their centre's appeals policy before contacting CII.

Regulatory Requirements

Important: The policy must state that appeals relating to "decisions *relating to any action to be taken against a learner or a centre following an investigation into malpractice or maladministration", must be made directly to the CII via the process detailed* in the Rules and Regulations section *https://www.cii.co.uk/about-us/professional-standards/disciplinary-and-appeals/*.

The centre policy must meet the regulatory requirements set out in the Ofqual Handbook.

Condition I1-I4: Appeals Process

'I1.1 An awarding organisation must establish, maintain and comply with an appeals process in relation to all qualifications which it makes available, which must provide for the appeal of –

> *(a) the results of assessments,*

> *(b) decisions regarding Reasonable Adjustments and Special Consideration, and*

> *(c) decisions relating to any action to be taken against a learner or a centre following an investigation into malpractice or maladministration.*

I1.2 For the purposes of Condition I1.1, an awarding organisation's appeals process must provide for –

> *(a) the effective appeal of results on the basis that the awarding organisation did not apply procedures consistently or that procedures were not followed properly and fairly,*

> *(b) all appeal decisions to be taken by individuals who have no personal interest in the decision being appealed,*

> *(c) appeal decisions to be only taken by persons who have appropriate competence*

> *(d) the final decision in respect of the outcome of an appeal to involve at least one decision maker who is not an employee of the awarding organisation, an Assessor working for it, or otherwise connected to it, and*

> *(e) timelines for the outcome of appeals.*

I1.3 An awarding organisation must publish information on its appeals process to enable the results of assessments to be appealed.

I1.4 Where the application of an appeals process in the case of a learner leads an awarding organisation to discover a failure in its assessment process, it must take all reasonable steps to –

> *(a) identify any other learner who has been affected by the failure,*

> *(b) correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure, and*

> *(c) ensure that the failure does not recur in the future'.*

The policy should comply with all relevant legislation, including but not limited to, data protection legislation.

For an example of an appeals policy, please refer to the CII Appeals Policy which can be found here:

https://www.cii.co.uk/learning/qualifications/assessment-information/after-the-exam/post-results-services/

Or the disciplinary appeals process here: https://www.cii.co.uk/about-us/professional-standards/disciplinary-and-appeals/

Learners' Malpractice & Assessment Compliance Policy

Introduction

The CII is committed to maintaining the integrity of its qualifications and meeting its regulatory obligations.

Definitions

For the purposes of this document malpractice and maladministration are defined using the Qualification Wales definitions found in their guidance (Qualification Wales, 2020)

Malpractice and maladministration: (Qualification Wales, 2020, pp. 2-3).

"Malpractice and maladministration encompass a wide range of matters, from dishonest acts affecting the validity of an assessment, such as cheating, to unintentional breaches of regulatory requirements, for example, as a result of inattention, inexperience, or poor organisational practices.

Malpractice and maladministration generally refers to any act, or failure to act, which may compromise the validity of an assessment, qualification or certificate, or damage the authority, reputation or credibility of an awarding body or centre, or cause some other kind of related harm. Malpractice and maladministration may be intentional or inadvertent. The key consideration is whether there has been some sort of wrongdoing or misbehaviour".

Examples of learners' malpractice & maladministration: (Qualification Wales, 2020, p. 3).

- Breaching the rules of an examination or assessment, for example, bringing unauthorised materials or unauthorised devices such as smart phones or smart watches into an exam, not following the rules for e-assessment, or collaborating with other learners inappropriately;
- Plagiarism, including copying another learner's work, copying material from the internet without referencing/acknowledging the source, or making false statements about the authorship of work;
- Stealing or tampering with the work of other learners;
- Disrupting examinations or controlled assessments

Awarding body and/or third party (e.g. centre) malpractice and maladministration: (Qualification Wales, 2020, p. 3-4).

- Failing to provide effective examination supervision;
- Failing to handle examination or assessment related documentation securely, for example, by disclosing questions prior to an examination;
- Providing or allowing improper assistance to learners during controlled assessment, for example, providing answer prompts or allowing collaboration;
- Falsifying results so that they do not reflect a learner's actual performance;
- Falsifying records in order to claim certificates;
- Avoidable delay, for example, in submitting candidate scripts, coursework or other assessment materials for marking, or delays in moderation resulting in the late issue of results or certificates;
- Mistakes arising from inattention or faulty procedures, for example, not using the correct assessment task or assigning an incorrect result to a learner; 4
- Poor record keeping, for example, losing candidates' work or gaps in records of learner attainment;

- Inadvertently giving misleading or inadequate information, for example, in relation to examination procedures or the requirements of assessment tasks;
- Fraudulently issuing certificates that do not reflect a learner's actual performance;
- Failing to comply with statutory or legal obligations

Assessment compliance:

To ensure the CII can be confident that an award is based on a candidate's performance in an assessment and in accordance with the requirements for that assessment, the CII may require the learner to undertake additional assessment tasks, referred to as Assessment Requirements.

An example of a situation that would lead to Assessment Requirements being imposed

- High matching content to another learner's work

An example of an Assessment Requirement

- Re-take the assessment.

Process

Process overview

The CII and its centres provide learners with information regarding its regulations for the conduct of assessments. When there is evidence to suggest that there has been a failure to comply with the CII requirements for the conduct of an assessment it will be investigated.

If, after investigation, it is concluded by the CII that malpractice or maladministration has occurred, sanctions will be applied in a consistent and proportionate manner.

Regardless of whether or not malpractice or maladministration has been determined and regardless of responsibility, if after an investigation it is concluded by the CII that it would be unsafe to make an award or allow a previously made award to be retained, the award will not be made or a previously made award will be withdrawn. The learner will need to undertake additional assessment requirements.

Investigations

Where a suspected incident of malpractice or maladministration comes to the attention of the CII it will be investigated.

The CII reserves the right to withhold results or certificates when a malpractice allegation is under investigation. Based on the outcome of the investigation, results may be released or continue to be withheld.

The CII is required to report malpractice and maladministration cases to Ofqual where there is an adverse effect which has disadvantaged any learner or group of learners and/or the qualifications' standards. The CII is also required to report malpractice and maladministration cases to Ofqual in cases where public confidence in qualifications is undermined.

Procedures for the initial investigation of alleged malpractice or maladministration

CII learners must co-operate with the CII, where required, during an investigation in relation to malpractice or maladministration incidents involving learners.

The CII will ensure that all the individuals involved in the malpractice investigation are informed that there has been an allegation against them. In addition, they will also become aware of the possible consequences/sanctions in the event that the malpractice or maladministration is proven.

The CII will ensure that sufficient time is given to individuals to respond to malpractice or maladministration allegations.

During the investigation stage, the CII investigations team might need to interview learners, but they will only do that in the presence of any individual the learner would like to be accompanied by.

Any malpractice or maladministration allegations being made after the release of the results will still result in a full investigation by the CII.

An investigation may lead to one or more of the following conclusions:
- The allegation is unfounded;
- there is insufficient evidence to reach a conclusion;
- the allegation is supported by evidence and the learner is in breach of the CII Charter and Byelaws;
- the CII cannot be confident in the integrity of the assessment.

Escalation

Where the allegation of malpractice or maladministration is supported by evidence the disciplinary process detailed here will be applied https://www.cii.co.uk/about-us/professional-standards/disciplinary-and-appeals/

Where the CII cannot be confident in the integrity of the assessment, assessment requirements will be applied.

Sanctions and Assessment Compliance

Professional Standards sanctions

If learners fail to comply with examination or assessment regulations and/or malpractice or maladministration is determined and a learner is found to be in breach of the Charter and Byelaws, Code of Ethics or any other applicable CII laws or regulations, members can face disciplinary action. Please see the Professional Standards section of our website.

https://www.cii.co.uk/about-us/professional-standards/disciplinary-and-appeals/possible-sanctions/

Assessment Compliance

In some circumstances, regardless of whether or not malpractice or maladministration has been determined, the integrity of an assessment may still be impaired or there may be reasonable doubt as to the reliability of an assessment outcome. In these circumstances an award will not be made or a previously made award will be withdrawn.

Some examples:
- The CII cannot accept assessment content there is reason to believe was not produced by the learner.
- The CII cannot accept assessment content where there is reason to believe the learner may have had access to prohibited materials.
- The CII cannot accept assessment content where there is reason to believe the learner may have had access to unauthorised materials.
- The CII cannot make, or uphold, an award where insufficient assessment evidence has been produced.

In such circumstances the CII reserves the right to require any or all of the following:

- an assessment be re-done.
- follow-up questions to be completed.
- participation in an interview.
- completion of an online course demonstrating understanding of the CII's originality and assessment rules.
- submission of a statement of understanding the CII's originality and/or assessment rules.

If unreferenced content appears in your assessment and in another learner's assessment, then you may be required to do further work to provide the required evidence of your abilities. As such, for unsupervised assessments, please be mindful of the security of your assessment. Please do not allow others to view it, share it with anyone or if an open book assessment, e.g. coursework, save it unprotected on a drive that can be accessed by others.

Appeals

The grounds and processes for appeals relating to actions to be taken against a learner following an investigation into malpractice or maladministration can be found in the rules and regulations section here – https://www.cii.co.uk/about-us/professional-standards/disciplinary-and-appeals/.

Data retention

The CII will retain records of all suspected & investigated malpractice and maladministration for a period compliant with all relevant legislation and regulations.

References

Ofqual, (2017) *'Ofqual Handbook: General Conditions of Recognition, A8 Malpractice & Maladministration Section'*, Ofqual Handbook. https://www.gov.uk/guidance/ofqual-handbook

Qualification Wales, (2020) '*Guidance for Awarding Bodies on malpractice and maladministration'*, Qualification Wales Guidance. https://www.qualificationswales.org/english/publications/guidance-for-awarding-bodies-on-malpractice-and-maladministration/

Centre Malpractice & Maladministration Policy

Procedures for dealing with suspected malpractice & maladministration in relation to CII Qualifications.

Introduction

These procedures are for Heads of Centre, Examinations Officers and other individuals involved in the management of assessments awarded by the CII.

Individual learners should be given access to the **Learners' Malpractice & Assessment Compliance Policy**.

Ofqual, CCEA and Qualifications Wales regulations require Awarding Organisations (AO) to investigate centres in all instances where there is an allegation of suspected malpractice or maladministration and to take all reasonable steps to prevent, mitigate and correct any adverse effect(s).

These guidelines aim to:

- Define malpractice and maladministration.
- Describe the procedures for the centres to follow in cases where malpractice or maladministration has, or may have, occurred.
- Explain how the CII investigates malpractice & maladministration.

The CII acts in an independently & objectively in the way it deals with malpractice and maladministration issues.

It is important that the centres collaborate and are open & honest with the CII when managing an incident of malpractice & maladministration.

Definitions

For the purposes of this document malpractice and maladministration are defined using the Qualification Wales definitions found in their guidance (Qualification Wales, 2020)

Malpractice and maladministration: (Qualification Wales, 2020, pp. 2-3).
"Malpractice and maladministration encompass a wide range of matters, from dishonest acts affecting the validity of an assessment, such as cheating, to unintentional breaches of regulatory requirements, for example, as a result of inattention, inexperience, or poor organisational practices.

Malpractice and maladministration generally refer to any act, or failure to act, which may compromise the validity of an assessment, qualification or certificate, or damage the authority, reputation or credibility of an awarding body or centre, or cause some other kind of related harm. Malpractice and maladministration may be intentional or inadvertent. The key consideration is whether there has been some sort of wrongdoing or misbehaviour".

Examples of learners' malpractice & maladministration: (Qualification Wales, 2020, p. 3).

- Breaching the rules of an examination or assessment, for example, bringing unauthorised materials or unauthorised devices such as smart phones or smart watches into an exam, not following the rules for e-assessment, or collaborating with other learners inappropriately;

- Plagiarism, including copying another learner's work, copying material from the internet without referencing/acknowledging the source, or making false statements about the authorship of work;
- Stealing or tampering with the work of other learners;
- Disrupting examinations or controlled assessments

Awarding body and/or third party (e.g. centre) malpractice and maladministration: (Qualification Wales, 2020, p. 3-4).

- Failing to provide effective examination supervision;
- Failing to handle examination or assessment related documentation securely, for example, by disclosing questions prior to an examination;
- Providing or allowing improper assistance to learners during controlled assessment, for example, providing answer prompts or allowing collaboration;
- Falsifying results so that they do not reflect a learner's actual performance;
- Falsifying records in order to claim certificates;
- Avoidable delay, for example, in submitting candidate scripts, coursework or other assessment materials for marking, or delays in moderation resulting in the late issue of results or certificates;
- Mistakes arising from inattention or faulty procedures, for example, not using the correct assessment task or assigning an incorrect result to a learner;
- Poor record keeping, for example, losing candidates' work or gaps in records of learner attainment;
- Inadvertently giving misleading or inadequate information, for example, in relation to examination procedures or the requirements of assessment tasks;
- Fraudulently issuing certificates that do not reflect a learner's actual performance;
- Failing to comply with statutory or legal obligations

Assessment compliance:

To ensure the CII can be confident that an award is based on a candidate's performance in an assessment and in accordance with the requirements for that assessment, the CII may require the learner to undertake additional assessment tasks, referred to as Assessment Requirements.

An example of a situation that would lead to Assessment Requirements being imposed

- High matching content to another learner's work

An example of an Assessment Requirement

- Re-take the assessment.

Process

Process overview

The centre must provide learners with information regarding the regulations for the conduct of assessments and these must comply with the CII approval standards. When there is an accusation or evidence to suggest that there has been a failure to comply with the CII requirements for the conduct of an assessment, it will be investigated.

If, after investigation, it is concluded by the CII that malpractice or maladministration has occurred, outcomes will be determined in a consistent and proportionate manner.

Regardless of whether or not malpractice or maladministration has been determined and regardless of responsibility, if after an investigation it is concluded by the CII that it would be unsafe to make an award or allow a previously made award to be retained, the award will not be made or a previously made award will be withdrawn. The learner(s) will need to undertake additional assessment requirements.

The CII is required to report malpractice and maladministration cases to its qualification regulators where there is an adverse effect which has disadvantaged any learner or group of learners and/or the qualifications' standards. The CII is also required to report malpractice and maladministration cases to its qualification regulators in cases where public confidence in qualifications is undermined. The regulators may be consulted throughout the process.

The CII reserves the right to withhold results or certificates when a malpractice allegation is under investigation. Based on the outcome of the investigation, results may be released or continue to be withheld.

Centre procedures to reduce suspected malpractice and maladministration

It is the centre's responsibility to ensure that there are procedures in place to prevent malpractice and maladministration.

Examples are:

- All learners must be made aware of all the centre's guidelines and assessment regulations.
- During the delivery of a closed book assessment the invigilators must accurately check the learners' identities.
- Invigilators should ensure that no prohibited materials are taken into any assessment.
- Confidential assessment materials must be securely stored and processed.
- The conflict-of-interest policy is maintained and enforced.
- Minimise opportunities for interference with assessment results e.g., sign in and sign out of assessment materials and evidence.
- The Head of Centre should ensure that learners are aware of the malpractice and maladministration procedures policies and the outcomes available for attempted malpractice.

Reporting malpractice and maladministration

All learners and staff must be made aware that anyone who wants to report malpractice or maladministration incidents at the centre, or would like to discuss any concerns, should contact the CII at ccaa@cii.co.uk. Concerns can be reported anonymously and no complainant's identity will be disclosed unless the CII is required to do so by a regulator or the courts.

The Head of Centre must report any incident of attempted or actual malpractice or maladministration from centre staff or learners of which they become aware.

In all cases, the Head of Centre (or alternative staff member if the Head of Centre is part of the investigation) is responsible for reporting and submitting full details of suspected malpractice and maladministration to the CII in writing, stating the following (where applicable):

- A detailed account of the incident and the initial investigation carried out by the centre.
- Written statements from learners under investigation and/or invigilators.
- Unauthorised assessment materials, or candidate's work relevant to the investigation, found in the examination room.
- Learner's collusion during the assessment delivery.

The Head of Centre is responsible for ensuring that the report and its associated material are complete and have been received by the CCAA team.

The centre should use the **Incident of Malpractice and Maladministration Report Form** provided by the CII for any suspected malpractice & maladministration instances. The form must be sent to the CII at ccaa@cii.co.uk.

The Head of Centre must inform the learners and centre staff of their responsibilities and rights in relation to suspected malpractice or maladministration.

Investigation by CII

Upon receipt of the investigation report by the centre the CII will carry out an investigation.

Any malpractice or maladministration allegations being made after the release of the results will still result in a full investigation by the CII.

The Head of Centre is responsible for complying with any requests made by the CII during an investigation in relation to malpractice or maladministration incidents involving learners or staff at their centre.

For any suspected malpractice incidents involving the Head of Centre, the rest of the centre staff (e.g. assessments officer) must collaborate and assist the CII investigation.

In cases where the Head of Centre is involved in malpractice or maladministration allegations, the CII will write to them, outlining the allegation.

When the CII carries out an investigation, the CII's CCAA Team will deal with the Head of Centre or his/her nominated representative (e.g., Assessment Officer). However, there might be instances where

the CII might need to speak to learners or to learners' representatives directly (e.g., in cases where the learner's description of an incident is different from the centre's description).

In cases where the CCAA Team need to interview a centre staff member against whom an allegation has been made, this staff member will have the right to be accompanied at their own cost by a union or legal representative, a friend or any individual the staff member would like to be accompanied by.

The CII reserves the right to withhold results or certificates when a malpractice or maladministration allegation is under investigation. Based on the outcome of the investigation, results may be released or continue to be withheld.

The CII will ensure that all the individuals involved in the malpractice investigation are informed that there has been an allegation against them. In addition, they will also be reminded of the possible consequences/outcomes in case the malpractice or maladministration is concluded.

The CII will ensure that sufficient time is given to individuals to respond to malpractice or maladministration allegations.

Escalation – Learners

The outcome of the initial investigation will be communicated to the Learner(s) involved and the Head of Centre.

Where the conclusion of the investigation is that malpractice or maladministration has occurred, the CII's disciplinary process will be used (please see the **Learners' Malpractice & Assessment Compliance Policy**).

Escalation - centres or centre staff

Where the centre or centre staff are investigated for malpractice or maladministration, the CII will provide a report to the Head of Centre.

The final decision on the suspected malpractice and maladministration, will determine:

- whether malpractice has occurred,
- any measures to prevent any adverse effects,
- any outcomes that determine actions against individual staff within the centre,
- any outcomes that determine actions against the centre.

Communication of the outcome - centres or centre staff

As soon as the investigation has been concluded, the individuals involved in the suspected malpractice or maladministration will be informed in writing about the investigation outcome and decision.

The CII CCAA team will also inform the Head of Centre, or the individual who informed the CII on behalf of them, about the decision made and the outcomes of the malpractice and maladministration investigation in writing.

Once the malpractice investigation has been concluded and actions relating to the outcomes are about to be taken, all the relevant evidence will be made available to the Head of Centre, unless they have actively been involved in the malpractice incident.

Full details of the CII appeals procedures against decisions will be given to both the Head of Centre and those involved in the allegations (e.g. centre staff).

It is the Head of Centre's responsibility to inform the learners about the outcome and the consequences of any centre or centre staff malpractice or maladministration investigation.

Data retention - centres or centre staff

The CII will retain records of all suspected & investigated malpractice and maladministration for a period compliant with all relevant legislation and regulations.

Outcomes – centre or centre staff

This section covers decision outcomes that determine actions that will be imposed on centres or centre staff. Outcomes for Learners are detailed in the **Learners' Malpractice & Assessment Compliance Policy**.

Definitions

Outcomes:
Decisions that can be applied to the CII's registered centres in cases where they fail to comply with the CII policies & procedures, or they act in a way that poses a risk to, or threatens, the integrity of the CII qualifications. Outcomes are decisions about actions that can be applied against a centre or a centre staff member.

If any centre fails to comply with the conditions of its approval, the CII policies and procedures and/or the activities related to the development, delivery and award of Centre Devised Assessments (CDA), a decision outcome may determine an action to be applied to it. The CII will have a consistent approach in making decisions about outcomes in similar cases and circumstances.

Outcomes Applicable to Centre Staff

Where a conclusion of malpractice or maladministration is reached involving members of centre staff, a decision outcome might determine actions to be imposed on the centre which will restrict the activities that the staff member is able to undertake in the centre. The CII might take one or more of the following actions:

- Written warning.
- Compulsory training.
- Special conditions imposed on the individual's centre and CDA activity.
- Suspension (suspension of the individual's duties in relation to the centre and CDA activity).
- Withdrawal (individual prohibited from having any involvement with the centre or CDA activity).

Please also note when allegations against centre staff are upheld and the centre staff are CII members or students, the individuals may be subject to the CII disciplinary process https://www.cii.co.uk/about-us/professional-standards/disciplinary-and-appeals/

Outcomes Applicable to Centres

Risk Level	Risk Rationale	Examples of Issues	Indicative Outcomes	Indicative Maximum Timeframe	Examples of what it would mean for the centre	Summary
Level 5	Breakdown in management and quality assurance creating a threat to all learners, risk to all assessment decisions and all CII qualifications.	Proven malpractice and maladministration in relation to the conduct of the CDAs delivered by the centre. Assessment processes not in place or disadvantage learners. Assessment decisions are consistently unreliable or invalid or both. CDAs do not meet the CII standards despite previous warnings and reviews by the CII. Action plans agreed at levels 1-4 have not been implemented.	Any applied in lower levels and/or: Permanent withdrawal of centre approval. The regulator will be informed. Temporary withdrawal of centre approval. Re-application can only take place after an action has been completed.	Immediate	Withdrawal of CII centre approval of the centre, as CII approved. The centre won't be able to deliver or offer units to learners. Other Awarding Organisations may be informed of this action. The centre might not be eligible to re-apply for centre approval. Any centre re-application (when permitted) will be subject to successful completion of an action plan set by the CII.	Withdrawal of centre approval temporarily or permanently
Level 4	Breakdown in management and quality assurance	Proven malpractice and maladministration in	Any applied in lower levels and/or:	3 months	Withdrawal to deliver specific CDAs either permanently or temporarily, in which case until	Withdrawal of specific CDAs

| | | | | | actions have been implemented as per the action plan agreed by the CII and centre.

The centre won't be able to deliver or offer the specific CDA to learners.

Other Awarding Organisations may be informed of this action. | temporarily or permanently. |
| --- | --- | --- | --- | --- | --- | --- |
| creating a threat to specific learners and/or a risk to specific assessment decisions and specific CII qualifications. | relation to a specific CDA delivered by the centre.

Assessment records reflect serious anomalies for a specific CDA.

Centre fails to provide access to requested learners or staff records for a specific CDA.

Action plan agreed at levels 1-3 for a specific CDA has not been implemented. | Removal of centre approval for specific CDAs.

Increased risk rating: complete any action plan by the agreed deadline. | | | | |
| Level 3 | Loss of integrity of assessment decisions.

Risk of invalid assessment outcomes.

Non-compliance with approval standards. | Investigation being conducted for malpractice or maladministration.

Centre staff – there are insufficient numbers and /or there is insufficient competence to undertake the production, delivery and award of CII units. | Any applied in lower levels and/or: Suspension of centre registration and/or results. Additional monitoring or inspection. Greater assessment scrutiny and independent invigilation. Centre staff training. Increased risk rating: complete action plan | 3 months | CII might refuse for a specified period of time to accept learners' registrations by the centre for all, or a number of, CDAs.

CII might refuse for a specified period of time to process results and awards for learners from a centre for all or a number of CDAs.

Action plan agreed to be implemented, with timescales, | Suspension of some activities & increased monitoring. |

Level						
		Invalid learner registrations &/or results. Assessed learners' evidence is not the learners' authentic work (e.g., fraud). Action plan agreed at level 2 has not been implemented.	by the agreed deadline.		including procedures review by the Head of Centre & more frequent external quality assurance visits.	
Level 2	Doubt as to the integrity of assessment decisions. Non-compliance with some/all approval standards. Not responding to actions.	Candidate's records and details of achievement are not accurate or recorded in a timely & secure manner. Failure to report malpractice. Failure to provide effective invigilation. Failure to meet some CDA approval standards.	Any applied in lower levels and/or: Complete action plan by the agreed deadline. Greater assessment scrutiny and independent invigilation.	3 months	All assessment practices & decisions scrutinised by the CII. All CDA tasks approved previously by the centre will now be approved by the CII. Independent invigilators may be appointed by the CII (at the centre's expense) to ensure the conduct of assessment examinations are in line with the CII regulations. Action plan agreed to be implemented, with timescales, including procedures review by the Head of Centre.	All assessments scrutinised by the CII.

Level 1	Maladministration and/or non-compliance with some approval standards but no threat to integrity of assessment decisions.	Avoidable delay to assessment; mistakes arising from inattention; faulty procedures; failure to follow correct procedures; poor record keeping; inadvertent failure to take action; poor communication; inadvertently giving misleading or inadequate information.	Written warning. Action plan to be completed by the agreed deadline. Action plan may include things such as: 1. Re-training of staff 2. Re-writing procedures 3. Additional checks	3 months	Outcomes will be communicated to the Head of Centre in writing. The action plan will be communicated to the Head of Centre. Head of Centre must review the centre procedures, implement improvement and report back to CII.	Warning and action plan.
0	Suggestions for improvement		Good practice points suggested.	Next Visit		

Appeals Policy

This policy covers appeals against malpractice and maladministration outcomes relating to a centre or centre staff.

Centres should refer learners who wish to appeal a malpractice sanction or assessment requirement to the **Learners' Malpractice & Assessment Compliance Policy**.

Who can appeal?

A Head of Centre may appeal against a finding of malpractice and/or the outcomes relating to the centre or members of staff (including contracted workers).

A member of centre staff or personnel contracted to a centre (e.g. an external invigilator) may appeal against a finding of malpractice and/or the outcomes relating to him/her.

(If the member of centre staff has had an outcome decision made against them as a member of the CII via the CII's disciplinary route these must be appealed via the disciplinary appeals process see the **Learners' Malpractice & Assessment Compliance Policy).**

How to appeal

The appellant should submit an application for an appeal to the CII.

Applications for an appeal should be made within 14 calendar days of receiving the malpractice/maladministration decision and sanctions. The CII may reject appeals made outside this timescale.

The appellant submitting an application for an appeal must set out as clearly and concisely as possible the grounds for the appeal and must include any further evidence relevant to supporting the appeal.

Grounds for appeal

Appeals must be based on reasonable grounds which relate to the decision and outcomes in question.

The following are accepted as reasonable grounds:

- The malpractice or maladministration incident was not dealt with in accordance with the CII's procedures for malpractice and maladministration.
- Evidence relating to the malpractice or maladministration investigation was not known or submitted at the time of the investigation.
- The decision was unreasonable in light of the evidence presented.
- The sanction imposed is disproportionate to the seriousness of the malpractice and maladministration.

The following factors do NOT constitute grounds for an appeal:

- The incident was unintended.
- The centre has an unblemished record.
- The centre regrets the incident.

Conduct of the appeal: the appeals process

Upon receipt of the fully completed application form and fee, the CII will send a formal acknowledgement of the appeal and indicate the period within which the appeal will be considered. The CII will send a written account of the process. The appeal form is at the end of this section.

The appeal will be heard by a senior member of CII staff and an appropriate external person (neither of whom will have had any previous involvement with the case). The case will be presented through the medium of appeal documentation, to which the CII and the appellant may contribute evidence and commentary. The appeal is heard, and decisions taken in private, without attendance by the appellant or the CII CCAA team.

Appeal Outcome

The senior internal member of the CII and an appropriate external person will make one of the following decisions:

- The appellant has not provided enough relevant information to the case and therefore there are insufficient grounds for the malpractice/maladministration decision and/or the outcomes to be modified.

- The appellant has provided enough relevant information to the case but there is insufficient reason and/or evidence to support any change to the malpractice/malpractice decision and/or the outcomes.

- The appellant has provided enough relevant information to the case and the outcomes can be modified, however, the malpractice or maladministration decision is upheld.

- The appellant has provided enough relevant information to the case and therefore the appeals decision and the outcomes can be modified. The appeal is upheld.

The outcome of the appeal will be provided to the appellant in writing.

The CII will aim to complete the appeal's process within 45 calendar days of receiving the fully completed form.

The decision of the senior internal member of the CII and an appropriate external person is final. There are no further avenues of appeal.

Appeal form

Centre/Centre Staff Outcomes Appeals Policy: Form for Centres and Centre Staff wishing to appeal outcomes imposed by the awarding organisation.

You are advised to read the Appeals Policy in the Centre Malpractice and Maladministration policy before deciding to proceed with an appeal. Please submit all requests by email to ccaa@cii.co.uk.

Personal Details	
Forename:	
Surname:	
PIN:	
Address:	
Telephone Number:	

Details of the Centre Staff Outcomes Appeal	
Name of Centre/Centre staff member	
Date and time of email in which outcomes were determined.	
Grounds of appeal from the list set out in the Appeals Policy in the Centre Malpractice and Maladministration policy	

Summary of Appeal (500 words or fewer)	
Reasons why you believe the grounds of appeal apply:(500 words or fewer)	
Desired outcome (50 words or fewer)	

List of evidence you have included to substantiate your claim:	

I agree that if it is found that grounds for appeal are discovered, I will be contacted by the Customer Service Team to process the Appeal fee of £122.00 (Refundable in the event of an appeal being upheld).

Declaration

It is my intention to make an appeal. The details I have provided are true and complete and I would be prepared to answer further questions in relation to any claims I have made. I consent to details in respect of my appeal being disclosed to necessary third parties.

Signed: …………………………………………………………………

Dated: …………………………………………………………………

Email address for correspondence:
ccaa@cii.co.uk

References and further reading

Ofqual, (2017) *'Ofqual Handbook: General Conditions of Recognition, A8 Malpractice & Maladministration Section'*, Ofqual Handbook. https://www.gov.uk/guidance/ofqual-handbook

Qualification Wales, (2020) '*Guidance for Awarding Bodies on malpractice and maladministration*', Qualification Wales Guidance. https://www.qualificationswales.org/english/publications/guidance-for-awarding-bodies-on-malpractice-and-maladministration/

CCEA (2021) General Conditions of Recognition, A8 Malpractice and maladministration, https://ccea.org.uk/downloads/docs/regulation-asset/Recognition/CCEA%20Regulation%20General%20Conditions%20of%20Recognition_4.pdf

Syllabuses for units CD1, CD2 and CD3

CD1 Insurance products and / or processes

Level 3

Objective

At the end of this unit, candidates will have knowledge and understanding of the main principles of the insurance products and processes within their organisation, including the main regulatory and legal requirements that are applicable to them.

Learning Outcomes

1. Understand the nature and main features of the insurance product(s) and / or process(es) within your organisation
2. Understand the main regulatory and legal requirements applicable to the insurance product(s) and/or process(es) within your organisation

Assessment Criteria

1. **Understand the nature and main features of the insurance product(s) and/or process(es) within your organisation**

    1.1. Describe the main features and scope of the insurance product(s) and/or process(es) within your organisation.
    1.2. Explain the purpose of these insurance product(s) and/or process(es) within your organisation.

2. **Understand the main regulatory and legal requirements applicable to the insurance product(s) and/or processes within your organisation**

    2.1. Describe the legal and regulatory considerations that affect the insurance product(s) and/or process(es) within your organisation.
    2.2. Apply the legal and regulatory considerations that affect the insurance product(s) and/or process(es) within your organisation to a given set of circumstances.

Assessment methods: A single multiple-choice exam.

Recommended study hours: 60

CD2 and CD3 Insurance products and/or processes (technical)

Level 4

Purpose

At the end of this unit, candidates should be able to demonstrate an understanding of the key technical aspects of the insurance product(s) and/or process(es) within their organisation, including the relevant regulation and the influence of the regulatory and commercial environment.

Learning Outcomes

1. Understand the key technical aspects of the insurance product(s) and/or related process(es) within your organisation*
2. Understand the regulation relating to the selected insurance product(s) and/or process(es) within your organisation
3. Understand the influences of the regulatory and commercial environment on the selected insurance product(s) and/or process(es) within your organisation

*the product(s) and/or process(es) selected must be different for CD2 and CD3.

Assessment Criteria

1. **Understand the key technical aspects of the selected insurance product(s) and/or the related process(es) within your organisation**
   1.1. Describe the key technical aspects of the insurance product(s) and/or the related process(es) within your organisation.
   1.2. Evaluate the key technical aspects of these insurance product(s) and/or process(es) when applied to a given set of circumstances.

2. **Understand the regulation relating to the selected insurance product(s) and/or process(es) within your organisation**
   2.1. Explain key requirements of regulation affecting the insurance products and/or processes within your organisation.
   2.2. Explain the application of regulation on these insurance product(s) and/or process(es).
   2.3. Explain the impact of regulation on these insurance product(s) and/or process(es).
   2.4. Explain the consequence of non-compliance with the regulation applicable to these insurance product(s) and/or process(es).

3. **Understand the influences of the commercial environment on the selected insurance product(s) and/or process(es) within your organisation**
   3.1. Evaluate the impact of major events and trends on the insurance product(s) and/or process(es).
   3.2. Evaluate the social and ethical considerations within the commercial environment for these selected insurance product(s) and/or process(es).

Assessment methods: Coursework, written exam or multiple-choice exam

Recommended study hours: 100

Alleged or Suspected Malpractice/Maladministration Reporting Form

This form is for reporting suspected of alleged malpractice of maladministration to the CII.

Completing this form

We take all suspected malpractice & maladministration cases very seriously.

Please take into consideration the following points when completing this form:

- Please provide us with as much information as possible by completing all sections of this form.
- Please use additional sheets, if needed, together with any supporting evidence.

Contact Details

Please notify us of all malpractice and maladministration using this form and emailing it to ccaa@cii.co.uk

Insert name/post _____

Insert centre name _____

Insert centre address _____

Insert email _____

Insert telephone number _____

Alleged or Suspected Malpractice/Maladministration Reporting Form

Qualification	
CDA (unit)	
Date the incident took place	

Those involved:

	Name	CII PIN (if applicable)	Contact details
Learner			
Tutor			
Internal Quality Assurer			
Head of Centre			
Other (state role)			
Possible sources of evidence			

E.g. CCTV footage, incident report form.

Description of the incident

Please provide full details of the suspected malpractice or maladministration. Please use additional sheets, if required, and attach additional evidence.
Background: Malpractice/Maladministration event: Causes of event: Recommendations:

Actions Taken

Signed	
Name	
Date	
Post/role	
Telephone Number	
Email	