Before completing this form you must fully familiarise yourself with the most recent version of the City & Guilds Regulations for the Conduct of Examinations.

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| **1. Visit Details** |
| 1.1 Centre Name |  |
| 1.2 Centre Number |  |
| 1.3 Address of site visited |  |
|  |
|  |
|  |
| 1.4 Quality Assurance Contact |  |
| 1.5 Exam title |  |
| * 1. Number of learners
 |  |
| 1.7 Date of Exam |  |
| 1.8 Start time |  |
| 1.9 End time |  |

|  |
| --- |
| **2. Criteria Risk Rating** |
| Each criteria is risk-rated. The audit must be measured against the risk rating. This table highlights the maximum instances of non-compliance for each rating that, if incurred, must be recorded as not satisfying City & Guilds Regulations for the Conduct of Examinations in the Report Summary below. | **Risk** | **Maximum instances of non-compliance** |
| High | 1 |
| Medium | 3 |
| Low | 6 |

|  |  |  |
| --- | --- | --- |
| **3. Report Summary** | **Risk level** | **Number of instances** |
| Having reviewed the evidence you have gathered through observation and questioning, do you consider the centre satisfies the overall City & Guilds’ requirements regarding the conduct of examinations? (Please tick Yes or No) | YES | NO | High |  |
|  |[ ] [ ]  Medium |  |
|  |  |  | Low |  |
| Auditor |  | Date |  |

|  |
| --- |
| **4. Staff Met During Visit** |
| No. | Name | Role |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |
| 6 |  |  |
| 7 |  |  |
| 8 |  |  |
| 9 |  |  |
| 10 |  |  |

**5. Audit Criteria**

Through observation and questioning, determine whether or not the centre fully satisfies the following criteria. Please tick the appropriate box for each criteria. If you place a tick in the ‘No’ box, please provide comments to support your decision.

To help guide you, the appropriate reference number for each criteria is shown, alongside the quality assurance risk-rating associated with the criteria.

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| **Preparations for the examination** |
| No. | Criteria | Exam regs ref | Risk Rating | Fully met? | Comments |
|  |  |  |  | Yes | No |  |
| C1 | Question papers kept in a safe or non-portable, lockable, metal cabinet, in a secure room, available only to authorised persons. | 1.2 | High |[ ] [ ]   |
| C2 | Procedures in place to ensure security of confidential material when being handled for testing or preparation purposes. | 1.4 | Medium |[ ] [ ]   |
| C3 | Appropriate equipment, software, stationery and other resources specified in the syllabus provided. | 4.1 - 4.7 | Low |[ ] [ ]   |
| **Accommodation** |
| No. | Criteria | Exam regs ref | Risk Rating | Fully met? | Comments |
|  |  |  |  | Yes | No |  |
| C4 | Examination room at the specified address provided to City & Guilds. | 5.1 | High |[ ] [ ]   |
| C5 | Examination room suitably quiet and undisturbed for the whole examination, with adequate heating, lighting and ventilation. | 5.4 | Medium |[ ] [ ]   |
| C6 | Practical examinations held under conditions giving all Learners the chance to carry out their tasks and display their true level of attainment. | 5.5 | Medium |[ ] [ ]   |
| C7 | Posters, display material, etc relevant to the examination removed or covered. | 5.6 | Low |[ ] [ ]   |
| C8 | A reliable clock clearly visible to every Learner. | 5.7 | Low |[ ] [ ]   |
| C9 | Date, start and finish times, centre name & no. and all other relevant details clearly visible to all Learners. | 5.8 | Low |[ ] [ ]   |
| C10 | Seating arrangements prevent Learners from seeing each other’s work. | 5.9 | High |[ ] [ ]   |
| C11 | For onscreen tests, each workstation must be isolated by a minimum of 1.25 metres measured from the nearest outer edge of one screen to the next. | 5.9 | High |[ ] [ ]   |
| **Invigilation arrangements** |
| No. | Criteria | Exam regs ref | Risk Rating | Fully met? | Comments |
|  |  |  |  | Yes | No |  |
| C12 | Invigilation carried out only by suitably qualified adult(s), none of whom acting as reader, writer or assistant for the examination. | 6.1 | High |[ ] [ ]   |
| C13 | Where invigilators have a conflict of interest they must not be the sole invigilator at any time during that examination. | 6.1 | Medium |[ ] [ ]   |
| C14 | Each invigilator familiar with the current City & Guilds Regulations for the Conduct of Examinations. | 6.2 | Low |[ ] [ ]   |
| C15 | Each invigilator familiar with any specific instructions relating to subjects being examined. | 6.2 | Low |[ ] [ ]   |
| C16 | One invigilator allocated for every 30 Learners. | 6.3 | Medium |[ ] [ ]   |
| C17 | A sole invigilator able to summon assistance easily without leaving the examination room. | 6.3 | Medium |[ ] [ ]   |
| C18 | A seating plan prepared and to be kept as specified by City & Guilds. | 6.4 | Medium |[ ] [ ]   |
| C19 | A specialist technician, in addition to the invigilator(s), available to deal with equipment failures. | 6.5 | Low |[ ] [ ]   |
| **At the beginning of the examination** |
| No. | Criteria | Exam regs ref | Risk Rating | Fully met? | Comments |
|  |  |  |  | Yes | No |  |
| C20 | Examination papers collected from secure storage on day of examination. | 9.1  | High |[ ] [ ]   |
| C21 | Learners brought into examination room at least ten minutes before start of examination. | 10.1 | Low |[ ] [ ]   |
| C22 | Identity established of each Learner, including those not personally known by invigilator(s). | 7.1  | Medium |[ ] [ ]   |
| C23 | Procedures in place for on-line examinations to ensure each Learner’s name and id match on-line test screen name and ID. | 7.2 | Medium |[ ] [ ]   |
| C24 | Only Learners and other persons whose presence required by the examination allowed in the examination room. | 8.1 | High |[ ] [ ]   |
| C25 | Invigilator(s) ensured Learners had no access to unauthorised items, including mobile phones. | 4.3 & 9.3 | High |[ ] [ ]   |
| C26 | Sealed envelope(s) opened immediately before the examination in front of the Learners. | 9.1  | Medium |[ ] [ ]   |
| C27 | Invigilator informed Learners of rules applying during the examination. | 10.2 | Low |[ ] [ ]   |
| C28 | Appropriate use by an invigilator of a translation provided by centre of the rules into other languages if necessary.  | 10.3 | Low |[ ] [ ]   |
| **During the examination** |
| No. | Criteria | Exam regs ref | Risk Rating | Fully met? | Comments |
|  |  |  |  | Yes | No |  |
| C29 | Invigilator(s) vigilant, supervised Learners at all times and did not carry out any other task(s). | 13.1 | High |[ ] [ ]   |
| C30 | A minimum of one invigilator for every 30 Learners was present at all times. | 6.3 | Medium |[ ] [ ]   |
| C31 | Rules applied by invigilator(s) regarding late entry to/early or temporary departure from examination room by Learners. | 11.1 & 11.2 | Low |[ ] [ ]   |
| **At the end of the examination** |
| No. | Criteria | Exam regs ref | Risk Rating | Fully met? | Comments |
|  |  |  |  | Yes | No |  |
| C32 | Invigilator alerted Learners of time remaining at 15 and 5 minutes. | 16.1 | Low |[ ] [ ]   |
| C33 | Learners told to stop writing/working. | 16.2 | Low |[ ] [ ]   |
| C34 | Invigilator(s) checked all Learner work clearly identified. | 16.2 | Low |[ ] [ ]   |
| C35 | All used and unused examination papers and scripts collected and scrap paper collected and destroyed before Learners left room. | 17.1 & 17.3 | Medium |[ ] [ ]   |
| **After the examination** |
| No. | Criteria | Exam regs ref | Risk Rating | Fully met? | Comments |
|  |  |  |  | Yes | No |  |
| C36 | No examination papers retained or photocopied by centre, unless otherwise authorised by City & Guilds. | 18.1 & 19.1 | High |[ ] [ ]   |
| C37 | All administrative documentation completed as specified by City & Guilds. | Appendix 1, E1 | Low |[ ] [ ]   |
| C38 | Scripts batched in the same order as Learners were sitting. | Appendix 1, E4 | Low |[ ] [ ]   |
| C39 | Scripts at no time left in an unsecured place. | 18.2 | High |[ ] [ ]   |
| C40 | Arrangements in place for dispatch of scripts in accordance with City & Guilds requirements. | 18.2 & 18.3 | Low |[ ] [ ]   |
| C41 | Results for on-line examinations uploaded as soon as testing session completed. | 16.2 | Low |[ ] [ ]   |
| **General regulations** |
| No. | Criteria | Exam regs ref | Risk Rating | Fully met? | Comments |
|  |  |  |  | Yes | No |  |
| C42 | Rules known by invigilator(s)/centre administrator regarding late entry to/early or temporary departure from examination room by Learners. | 11.1 | Low |[ ] [ ]   |
| C43 | Rules known by invigilator(s)/centre administrator regarding malpractice and irregularities. | 14 | Medium |[ ] [ ]   |
| C44 | Rules known by invigilator(s)/ centre administrator in case of an emergency during the examination. | 15 | Medium |[ ] [ ]   |

**6. Questions**

The following questions can be asked to confirm that examination regulations are clearly understood and implemented by all those involved in the conduct of City & Guilds examinations. These questions do not form a mandatory part of the Audit.

|  |  |  |  |
| --- | --- | --- | --- |
| AVR criteria ref. no. | Question | Role | Response |
| n/a | What are your key responsibilities as Centre Administrator? (Centre Administrator was previously called Exam Secretary) | CA |  |
| 1/2 | Who has access to the exam papers? | CA |  |
| 3 | How do you check the correct resources for the exam are provided? | CA/I |  |
| 14 | How do you ensure that each invigilator is familiar with the examination regulations? | CA |  |
| 20 | How long before the start of the examination did you collect examination papers? | I |  |
| 26 | Before the examination, how did you ensure that security of papers was not breached? | I |  |
| 22/23 | Did you know all the Learners? If not, how did you check their identity? | I |  |
| 40 | What is the process for the dispatch of scripts after the examination? | CA |  |

**7. Further questions/comments**

Please provide details of any other questions or comments that arose from the Audit.

|  |  |  |
| --- | --- | --- |
| Question/Comment | From whom | Action |
|  |  |  |