

Exam Auditor Manual

November 2019



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**1 Introduction**

**1.1 Introduction to the Exam Auditor Manual**

The Exam Auditor manual is a reference document to support you in your Exam Auditor role. This document provides guidance on the Exam Audit processes and how to carry out and document your Exam Audit activities.

The Exam Auditor Manual must be used in conjunction with Functional Skills: Instruction for Conducting Exams document, the JCQ ICE document and the 3748 Qualification handbook which includes the assessment process and conduct arrangements for this suite of qualifications.

**1.2 The purpose of exam audits**

City & Guilds has a responsibility to ensure that

* all learners are sitting the assessment under the same conditions
* work submitted by learners is their own
* all reasonable steps are taken to prevent non-compliance, maladministration and malpractice
* no learner is advantaged or disadvantaged

Exam audits are part of the quality assurance activities that we undertake to support these responsibilities. In addition, they

* provide valuable intelligence on how centres deliver assessments,
* highlight instances of both good and bad practice
* help protect the City & Guilds brand
* ensure that City & Guilds meets specific regulatory requirements set out in the General Conditions of Recognition

The General Conditions of Recognition sets out the following -

***Condition G8 - Completion of the assessment under the required conditions***

*An awarding organisation must take all reasonable steps to ensure that, in relation to qualifications which it makes available –*

1. *evidence generated by a Learner in an assessment is generated by that Learner (or includes evidence generated by that Learner as a contribution to group work), and*
2. *where an assessment is required to be completed under specified conditions, Learners complete the assessment under those conditions (other than where any Reasonable Adjustments or Special Consideration require alternative conditions).*

**1.3 Exam Auditor Role**

The exam auditor role is therefore very important in ensuring the integrity of City & Guilds examinations and the validity of learner results. You will visit centres to monitor the administration of City & Guilds exams , before, during after the assessment.

Exam Auditors key responsibilities are:

* Carrying out and documenting exam audit visits in line with City & Guilds and regulatory requirements
* Identifying any issues in line with City & Guilds and regulatory requirements and ensure that appropriate action is taken
* Reporting any potential malpractice issues to City & Guilds as soon as possible



**1.4 The Associate code of conduct**

All City & Guilds Group representatives are required to acquaint themselves with the City & Guilds Group’s policies, procedures, and the code of conduct.

As highlighted in your contract please remember to provide us with up to date information in relation to the protection of children and vulnerable adults and to ensure there are no changes to your situation. The following forms are located in the Aspire platform.

* Code of conduct
* Safeguarding disclosure declaration form
* Conflict of Interest declaration form

**2 Roles and Responsibilities**

The following internal and external roles are involved with the management of exam audits.

**Quality Assurance and Improvement Team**

The Quality Assurance & Improvement Team are responsible for the recruitment, training, selection and performance management of Exam Auditors, External Quality Assurers (EQAs), Moderators, Independent End Point Assessors and International External Quality Assurers (EQAs).

**Associate Managers**

The Associate Managers are a part of the Quality Assurance & Improvement Team responsible for managing the performance of associates.

The areas the Associate Managers manage are listed as follows:

|  |  |  |
| --- | --- | --- |
| **Associate Manager – Industry Areas**  |  |  |
| **June Lang**  | **Sharon Veitch**  |  **Rebecca Wozniak** **Tracey McDowall** **Daniella Bailey** **Lorraine Hounsell**   |  **Sarah Austin**  |
| EQAs, EAs, SEQAs, TEQAs AEQAs, ACs International EQAs International SEQAs TAQA assessors, TAQA IQAs   | Principal Moderators Lead Moderators Moderators   | Lead independent End-point AssessorsIndependent End-point Assessors   | High Stakes Marking  |

**Quality Assurance and Improvement team coordinators/ administrators**

The quality assurance and improvement team coordinators and administrators are responsible for supporting the recruitment, selection and training of our associates, process training standardisation fees and expenses.



**Quality Delivery Teams**

The Quality Delivery and specialist teams are responsible for setup, allocating activities to our Exam Auditors and the processing of exam audit reports, as well as providing advice and support to centres.

**Territory Quality Managers**

Managers the Quality Team Managers and specialists within their Quality delivery team

**Quality Team Managers**

Manages the Quality Process Coordinators and Quality Assurance Coordinators

**Quality Assurance/Process Coordinator**

Responsible for the day-to-day management of risk within centres including;

Making decisions on qualification approvals, allocating exam audit activities, processing exam audit reports, liaising with exam auditor for clarification where necessary, and processing EA claims for audits.

**Senior Exam Auditor**

Responsible for monitoring and supporting a team of exam auditors. Standardise Auditor practice, to ensure that audit practices, policies and procedures are adhered to, in line with City & Guilds and regulatory arrangements

**Investigation & Compliance Team**

Responsible for managing cases of malpractice and maladministration. Protecting the City & Guilds brand and integrity of our exams/assessments. They also manage the relationship with our regulators and other agencies with regard to issues of non-compliance.

**3 Our Functional Skills Qualifications**

**3.1 Functional Skills Qualifications**

Our Functional Skills Maths and English qualifications have been designed to help learners of all ages and levels, supporting them to develop and demonstrate the practical skills needed in real life situations confidently.

City & Guilds continues to offer Functional Skills ICT, but as part of our existing Functional Skills suite, as ICT has not formed part of the current reform programme.

Available for registration from September 2019, our offer includes:

* Flexible new assessment at 5 levels entry 1 to level 2 available on demand.

English and Mathematics Level 1 and Level 2 Functional Skills exams available on demand, on

paper and on screen.

**3.2 Key differences to delivery of legacy qualifications (3748)**

* more detailed instructions on storing, handling and transporting assessment materials
* restrictions on who can act as an invigilator
* a requirement to return unused question papers
* requirements to notify City & Guilds of any changes to the date or location of exams

**3.3 Flexibility of exam dates**

In our offer, we have retained all the flexibility we can within the new requirements. This provides centres with the flexibility they need:

* Entry Level available on demand
* English and Mathematics level 1 and 2 functional skills available on demand, on paper and on screen

When a level 1 or 2 exam is booked, exams should take place on the date booked, but if it needs to be changed, in exceptional circumstances, centres will need to let us know. Centres do this by using our online exam change notification form.

<https://www.cityandguilds.com/what-we-offer/centres/maths-and-english/functional-skills/exam-change-notification-form>

**3.4 Invigilation**

Invigilators are responsible for ensuring that exams is conducted securely and in line with our published requirements. It is the responsibility of the head of centre to ensure that appropriately trained invigilators are available for all Functional Skills exams and that they meet our published requirements.

In exceptional circumstances, centres can apply for permission for a tutor to act as an invigilator using the online invigilation exemption request form.

<https://www.cityandguilds.com/what-we-offer/centres/maths-and-english/functional-skills>

**3.5 The Exam Audit Process**

* Most exam audits are unannounced



**4 Exam Auditor Walled Garden guide**

**4.1 Getting started**

* Log on to Walled Garden
* Tick the terms and conditions box
* Welcome Page, click Quality tab



**4.2 Checking for your activities**

* On the search page, using the first drop down box, choose the second option “My Activities”
* To see **all** your scheduled Exam Audits select:

All my centres and all statuses in the appropriate boxes

* Select the bottom boxes marked “Or From”
* Click in the first box – a calendar will appear. Using this, choose a date about a year before. In the second box, choose a date about a year forward. Click search.





* The right-hand side of the screen will show
* all your scheduled exam audits

Clicking in any of the grey boxes will put the exam audits in alphabetical/numerical order

* the 8000 numbers
* the date of the exam audit



**4.3 Planning your exam audits**

* Click on the ‘plan visit’, box

 

* You will see the pop up box
* Enter the actual date of the exam audit in both fields
* Click save



* The status of the exam audit will change to ‘visit scheduled’

 

* You then need to create your CAR1
* Click save



* Print a copy of the CAR1 to take on your exam audit

**4.4 Completing your exam audit CAR 1**

* You need to complete and submit your CAR 1 report within 2 working days
* Use the online form tab to open your saved CAR1
* Enter the 8000 number
* Click ‘change’
* Complete the CAR 1 report
* Save as you go, if the report has saved successfully you will see the pop up



* Check the report for any typos
* Click on submit
* Quality Delivery will process the report, if they have any queries they will contact you before releasing the report to the centre

**4.5 Action planning – outcome of risk**

Action Planning

It is essential that you document SMART action plan in your CAR1 reports, where you have identified any action points in line with City & Guilds functional skills ICE document/ JCQ ICE document / qualification handbooks. This will provide the centre with clear guidance and timescales to address actions.

It is important to check any previous action plan have been met during your visit. Do not forget to enter the previous transaction number in your CAR1 report. If the previous action plan has not been met, your comments must reflect reasons and a new action set.

Any action plan for the centre must be SMART

* Specific
* Measurable
* Achievable
* Realistic
* Time-bound

Any action plans must be referenced to one of the following documents:

* City & Guilds functional skills ICE document
* JCQ ICE document
* Qualification handbooks

Possible outcome of an Exam Audit

If there are any issues discovered during an Exam Audit, the centre will be set an action plan to address them. If the issues are serious and there is a risk to the integrity or security of the exam, City & Guilds may choose to investigate further and decide to:

* Invalidate candidates’ results
* Raise the centres risk level

The impact of each action is outlined below:

|  |  |
| --- | --- |
| Risk level | Outcome |
| Low | None |
| Medium | Warning, if action plan is not met, further action may be taken |
| High | Registrations and exam entries cannot be made for that qualification |

A ‘high’ risk level can be set result of:

One high level non-compliance; or

Five or more medium non-compliances



**5 Monitoring of Exam Audit performance**

**5.1 Identifying and monitoring Exam Auditor performance**

The main aspects of your performance as an exam auditor

* maintain a thorough knowledge of the regulatory requirements for conducting examinations C&G functional skills Instructions for Conducting Examinations, JCQ Instructions for Conducting Examinations
* maintain a thorough knowledge of City & Guilds reporting and IT systems
* identify risk in line with regulatory arrangements and ensure that appropriate action is taken

You must continue to meet the above requirements and remain up to date with the latest developments in relation to the Exam Audit role.

City & Guilds will:

* monitor your performance and identify any developments
* provide you with up-to-date information which is needed for your role

A number of factors are taking into consideration, when determining the performance of exam auditors.

* Your ability to meet City & Guilds requirements in relation to planning, carrying out and documenting exam audit activities:
* centre Activity Report (CAR) 1completion
* timeliness
* Feedback from quality delivery and centres on your:
* attitude
* ease of contact
* adaptability

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| --- | --- | --- |
| **Low risk**  | **Medium risk**  | **High risk**  |
|  * Consistently meets City & Guilds and regulatory requirements
* Completes and submits reports within required timescales
* No performance issues
* Minimum support needed

     |  * Inconsistent in meeting City & Guilds and regulatory requirements
* Some minor performance

issues e.g. does not reference action points to * FS ICE document
* Insufficient evidence to show consistent compliance
* Some support required

  |  * New to the EA role
* Consistently does not meet City & Guilds and regulatory requirements
* Significant performance issues e.g. reports not submitted on time
* Action plans partially or not completed

  |

**5.2 Action and Improvement plans**

Exam Auditors who do not complete their action plans within the required timescales will move to a high risk tariff. Persistent non-completion of action plans may affect contract renewal.

**5.3 Fees and Expenses**

Fees and expenses cut-off dates

Exam Auditors must submit their claims by 17 of each month; payment will be made on or around 15 of the following month (as long as there are no discrepancies with your claim)

Fees and expenses must be claimed within 3 months of the activity, claims submitted after this time will only be paid at the discretion of City & Guilds, Fees include travel and admin time and there are no extra claims for these.

Please email eqaclaims@cityandguilds.com if you have any questions relating to the payment of exam audits and email associate.eqa@cityandguilds.com for questions relating to the payment of training/briefings/standaridisation.

|  |  |
| --- | --- |
| **Fees (Fees are based on the type of activity)**  |  |
| **Activity**  | **Fee**  |
| **Exam Audit**  |  £90  |
| **Participation in Industry update webinars** | £50 |
| **Exam Auditors training/standardisation/briefing day**  |  £190  |

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| **Travel Expenses (All travel and accommodation must be booked by the Exam Auditor).**  |
| **Receipts**  | All claims must be accompanied by itemised receipts (excludes mileage)  |
| **Mileage**  |  Mileage must be calculated from the EQAs address to the centre’s/ briefing location address, as a round-trip, at the rate of **45p per mile** * Supplement for round-trip over 150 miles £ 2.00
* Supplement for round-trip over 250 miles £ 4.00

 This will need to be added as a separate line under ‘category’ when claiming expenses on the online Quality portal.  |
| **Air/rail travel**  |  Must be by economy/ standard class. Tickets must be booked in advance to ensure the most cost effective fares. EQAS are not authorised to book First Class travel tickets.  |
| **Car hire**  |  Must be authorised by the appropriate Quality Delivery team  |
| **Taxis**  |  For London based briefings EAs must use **public transport**. Taxis must not be used in London without a valid reason and prior **authorisation** from Quality Assurance and Improvement team. |
| **Extensive travel**  |  Please agree any additional travel costs with the appropriate teams.  |
| EAs must only submit claims for expenses that you have incurred and should not submit/claim expenses for other individuals.  |

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| **Accommodation (All travel and accommodation must be booked by the EA).**  |
| **Overnight** **accommodation**   | Must be authorised by Quality Assurance & Improvement Team or the appropriate Quality Delivery Team. This may be agreed where the visit requires a departure before 06.30 (unauthorised claims for accommodation may not be paid).  **Claims for accommodation must not exceed** £100 (outside London) **or** £160 (in London)**, inclusive of breakfast. You may choose to use more expensive alternatives, but may only claim the appropriate maximum rate** |
| **Staying with family &** **friends**  |  **£25 per night** may be claimed if you are staying with family and friends. If this allowance is claimed, no further claims can be made for food or accommodation.  |
| **Evening meals**  |  When an overnight stay is required, an evening meal may be claimed. (this must not include alcoholic drinks) you can claim up to **£25 (in London)** or **£20 (outside London)**  |



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| The online expenses functionality enables EQAs to submit expenses online using the Walled Garden Quality Portal, for all **CAPV/ QAPV and CAR** activities.  |
| **Submit online expenses**  | The [**EQA Online Expense user guide**](http://www.cityandguilds.com/help/more-help/help-for-eqas/eqa-documents-library) shows you step by step how to process your expenses online. You will find guidance on:  * submitting a claim
* viewing outstanding claims
* amending and re-submitting a claim
* viewing processed claims

 Please refer to the ‘EQA Online Expenses user guide’ for guidance on how to manage your expense claims. |
| **Online Fee**  |  Your activity fee is automatically populated when we process your CAR1 report.  |
| **Receipts**  |  Itemised receipts must be sent to **eqaclaims@cityandguilds.com** attaching the **EQA Expenses Receipt Form** available in the [**Aspire**](https://aspire.cityandguilds.com/login/index.php) Platform  |

**Subsistence and incidental expenses**  |
| **Reasonable expenses**  | Snacks and drinks (non-alcoholic), telephone calls, photocopying and postage can be claimed; Per day/centre activity visit £8.00  |
| [**Telephone log**](http://www.cityandguilds.com/help/more-help/help-for-eqas/eqa-documents-library)  |  For reimbursement, please complete the EQA telephone log and submit this with your claims. You will need to complete the [**Telephone log**](http://www.cityandguilds.com/help/more-help/help-for-eqas/eqa-documents-library) for reimbursement of calls.  |
| Printer ink cartridges, filing cabinets, shredders, stationery and other office equipment and PC peripherals and consumables are not reclaimable.  |

Notification of payment



|  |  |
| --- | --- |
| **Receipt Settlement** **Notification (RSN)**  |  **For EA online expenses only**.  This document contains a detail of all fees that City & Guilds have paid using the EA online expenses functionality. The Receipt Settlement Notification (RSN) will be emailed to you on or around the 2nd of every month. Please keep the RSN for your own records.  Please note the Receipt Settlement Notification (RSN) document does not include expenses.  |
| **Transaction Advice**  |  Formerly known as the Remittance Advice. This document contains a detail of all fees & expenses paid (including those submitted online and those submitted on a claim form). The Transaction Advice will be emailed to you on or around the 7th of every month.  |
| **ePayslips**  |  All EQAs are to use the **esl ePayslip Portal user account** to access your ePayslip. Your user ID and password is required to login to your ePayslip account. You will receive an email to your registered email address notifying you when your payslip is available to view.  |
| **My Processed claims**  | EA expenses processed by the Quality Delivery Teams for CAR activities will be displayedunder the heading ‘My Processed Claims’ in your Walled Garden Quality Portal. You will be able to see any approved/rejected claims.   |



**Documents and support**





This document provides instructions for centres administering the reformed Level 1 and Level2 Functional Skills Mathematics and English (4748) exams.

[https://www.cityandguilds.com/-/media/productdocuments/skills\_for\_work\_and\_life/english\_mathematics\_and\_ict\_skills/4748/centre\_documents/functional\_skills\_4748\_instructions\_for\_conducting\_exams\_v1,-d-,1-pdf.ashx](https://www.cityandguilds.com/-/media/productdocuments/skills_for_work_and_life/english_mathematics_and_ict_skills/4748/centre_documents/functional_skills_4748_instructions_for_conducting_exams_v1%2C-d-%2C1-pdf.ashx)

3748 Qualification handbook

This document sets out the requirements for administering the Functional Skills qualifications in English, Mathematics and Information and Communication Technology (ICT)

<https://www.cityandguilds.com/-/media/productdocuments/skills_for_work_and_life/english_mathematics_and_ict_skills/3748/centre_documents/3748_qualifications_handbook_v2-10-pdf.ashx>

 Instructions for conducting examinations

These Instructions have been produced to enable all centres to administer examinations in a consistent, secure fashion, thereby helping to maintain the integrity of the assessment process.

<https://www.cityandguilds.com/-/media/cityandguilds-site/documents/delivering-our-qualifications/cdl/examinations/jcq-ice-2019-20-pdf.ashx?la=en&hash=AC3080A0357C5887560D245E06890BD7E4D878A0>

  CAR 1 exemplar

The CAR 1 exemplar will help you to document your exam audit activity in line with City & Guilds and Regulatory requirements

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