

Centre Activity Report

Exam Audit **This exemplar is to be used as reference only for Functional Skills exam audits. The comments in green reflect the differences for a Functional Skills Audit only**

Section 1 Contact details

1.1 Transaction Number	
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1.2 Centre name	
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1.3 Centre number	
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1.4 Centre Contact	
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Title	
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First name	
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Surname	
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Telephone number *	
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Email address*	
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Consultant Name	
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Type of activity	
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Date of activity (dd.mm.yyyy)	00.00.0000
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Start Time (24 hrs clock)	00.00hrs
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Finish time (24 hrs clock)	00.00hrs
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Location of activity	
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Section 2 Summary of activity & centre staff met

2.1 General comments regarding the day including good practice. For a support visit outline advice, guidance & training provided	
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2.2 Centre staff met	
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Delete ?	Staff Name	Role	Met
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No
<input type="checkbox"/>			O Yes O No

2.3 Are there any risks with the Centre's quality assurance systems?	O Yes O No
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Has the previous action plan been met by the centre?	Please select from the dropdown box Yes No N/A
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Comments	
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Section 3 Action/Improvement Plan

Delete?	Date set (dd:mm:yyy)	Action/Improvement Point	Level of risk	By whom	By when (dd:mm:yyyy)	Date completed (dd:mm:yyyy)	To be checked by (mandatory field)
<input type="checkbox"/>			Please select High Medium Low Improvement				
<input type="checkbox"/>							
<input type="checkbox"/>							

Section 4 Examination audit report

Delete?	Qualification no	Date of examination (dd.mm.yyyy)	Examination title	No of learners entered	Examination held during the am/pm	Start time (hh:mm)	Finish time (hh:mm)
<input type="checkbox"/>							

4.1 Details of staff interviewed during/involved in the audit

Delete?	Name	Job title	Place of audit and address (if different from above)
<input type="checkbox"/>			

4.2 Observations

Exams audits are carried out in line with requirements of the Joint Council for Qualifications document, Instructions for conducting examinations (ICE) or ILM Instructions for Conducting Examinations

A. Before the examination

No.	Observation	Ref in ICE doc	Risk level	Answer
1	papers are kept in a safe, non-portable, lockable steel or metal cabinet	1.3	Medium	
2	cabinet in room secure from non-authorized entry	1.1	Medium	
3	room locked when not attended by authorised persons	1.1	Medium	
4	question papers must remain in secure storage until one hour before the published starting time	1.9	High	The centre may remove the question/ papers from secure storage more than 1 hour prior to the assessment. – e.g. to transport them to the assessment site. In all cases the centre must be able to explain the precautions they have taken to maintain the safe keeping of the question papers.
5	criteria for appointing invigilators met	6.3	Medium	The centre may use the term 'Assessment Supervisor', in place of 'Invigilator'.
6	procedures in place to ensure that the invigilator who has prepared candidates for the exam, is not the sole invigilator for that exam	6.3	Medium	The candidates' main teacher/tutor should not be sole invigilator/supervisor – although exceptions can be made in genuinely <i>exceptional</i> circumstances, where permission has been sought from the centre's managing Quality team.
7	readers/writers do not act as invigilators	7	Medium	Readers /Writers can be the invigilator/supervisor if in a separate room and working 1 to 1 with the learner.

B. Examination room

No	Observation	Ref in ICE doc &	Risk Level	Answer
8	examination room in quiet, undisturbed location	5.4	Low	
9	only candidates and other persons required by the examination allowed in the room	10.3	Low	
10	minimum distance of 1.25 metres between candidates' chairs	5.10, 5.11	Low/Medium	This is not essential, although centres must be able to provide reassurance that candidates cannot see each other's work
11	all candidates facing same direction (or, where drawing boards, easels or computer workstations are involved, seated in such way as to be prevented from seeing each other's work)	5.11	Low	See 10
12	each candidate seated at a separate desk, table or workstation	5.11	Low/Medium	See 10
13	seating plan made for examination room or standard form of seating used	5.13	Low	
14	posters, display or other material relevant to examination removed or covered	5.6	Low	This is not a major concern for Functional Skills
15	all candidates able to see a clock without turning around	5.7	Low	
16	starting and finishing times of examination displayed where all candidates could see them	5.9	Low	Not crucial
17	no unauthorised material in the examination room	12.2	Low/Medium/High	Prohibited items include: <ul style="list-style-type: none"> Any pre-prepared notes, crib-sheets, tutor-developed or other materials designed specifically to assist with this assessment.
18	minimum of one invigilator for every 30 candidates for written or 15-20 for on-line	6.3	Medium	This ratio does not have to be strictly adhered to for Functional Skills but the centre must demonstrate a sensible ratio. Ratio to be commented on in report.
19	where one invigilator present, s/he able to summon assistance easily without leaving examination room in case of emergency	6.3	Medium	

20	number of invigilators never below number specified	6.3	medium	See 18
21	identity of each candidate established (particularly where candidates not personally known to invigilator)	9.1, 9.2, 9.3	Medium	It is not necessary for passports and driving licences to be checked
22	identity of each candidate verified, specified ID produced in accordance with qualification guidelines (License to practice only)	9.2	Medium	
23	invigilators oversaw the input of the ID and password for each candidate (e-volve)	Appendix 1 2.5	Medium	
24	envelopes containing question papers not opened until immediately before the examination	1.9	Medium	

C. Starting the examination and invigilation

No	Observation	Ref in ICE doc	Risk Level	Answer
25	rules read out to candidates at beginning of examination	12.3	Low	
26	attendance list completed by invigilator	15	Low	
27	invigilators observed candidates at all times	13.1	Low/Medium/High	
28	rules known regarding candidates entering and leaving exam room	16.5, 16.6	Low	
29	rules known regarding candidates arriving late	14	Low	Not applicable
30	rules known regarding candidates leaving exam room temporarily	16.5	Low	

D. End of examination

No	Observation	Ref in ICE doc	Risk Level	Answer
31	candidates reminded of time remaining between 15 and 5 minutes before end of examination	City & Guilds ICE supplementary document	Low	Would be good practice, rather than an absolute requirement
32	candidates told to stop writing when examination time has ended	19	Low	
33	scripts collected before candidates left examination room/ for on-line invigilators check that candidates submit only their work	20 Appendix 1, 7.6	Medium	
34	scripts checked for candidates' names and numbers	19, 20	Low	
35	scripts handed to person responsible for despatching them	20	Medium	
36	scripts left in secure place (as in 1, 2, 3) when not dispatched immediately	20, 22	Medium	
37	rules for dispatching scripts known	22	Low	
38	used and unused multiple choice booklets returned to City & Guilds or destroyed	23	Medium	City & Guilds advises centres to destroy any excess/unused papers

E. Dealing with misconduct and irregularities

No	Observation	Ref in ICE doc	Risk Level	Answer
39	centre aware of procedure	17, 24	High	

F. Dealing with emergencies

No	Observation	Ref in ICE doc	Risk Level	Answer
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40	centre aware of procedures	18	Low/ Medium	
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G. Candidates with particular assessment requirements

No	Observation	Ref in ICE doc &	Risk Level	Answer
41	centre aware of arrangements which may need to be made	7, 8	Low/ Medium	

Please provide comments to support where requirements have not been fully met (51)	
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SECTION 5 Examination audit questions

Ref. in section 4.2 of the report	Question No.	Planned questions	Probable job title of interviewee (change if necessary and include name)	Ref. in ICE document	Examples of responses expected	Summary of actual responses and additional notes
5	1	What are the main criteria for appointing invigilators?	Exams officer	6.3	<ul style="list-style-type: none"> • Suitably qualified and experienced • Integrity can be relied on 	
6	2	How does the centre ensure that an invigilator who has prepared candidates for an exam is not the sole invigilator for that exam?	Exams officer	6.3	Answer to indicate that procedures are in place for meeting this requirement	The candidates' main teacher / tutor should only be the sole invigilator / supervisor in exceptional circumstances. Where this is the case, the centre should be asked what procedures are in place to mitigate any risk of malpractice that might arise from this.

7	3	What invigilation arrangements are made where readers/writers are provided for candidates with special assessment requirements?	Exams officer	7.3, 7.4	Answer to indicate that when readers/writers are provided for candidates, an invigilator is also present	
4	4	How long before the start of the exam did you collect exam papers? After you collected the papers, how did you ensure that security of papers was not breached?	Invigilator Invigilator	1.9, 1.10 1.2	Please summarise the response.	The centre must be able to show that reasonable precautions have been taken in storing the papers and reasonable precautions taken to maintain the security of the papers – especially if the need to be transported off-site
24	5	When did you open the question papers?	Invigilator	1.9, 1.10	Papers not opened until immediately before the examination	
28	6	What are the rules regarding candidates entering and leaving the exam room for exams lasting <ul style="list-style-type: none"> • 2 or more hours • less than 2 hours? 	Invigilator	14, 16.1, 16.2	<ul style="list-style-type: none"> • No candidate may enter one hour after start of exam. • No candidate may leave during first hour • No candidate may enter after, or leave before, half the exam time has elapsed 	<p>Evolve candidates can leave the assessment at any time as long as they do not return.</p> <p>Any candidates taking an on-demand assessment can leave at any time as long as they</p>

						do not return. Any reasonable response by the invigilator/ supervisor to show understanding.
30	7	If a candidate had to leave the exam room temporarily during an exam, how would you ensure that s/he did not breach exam security while out of the room?	Invigilator	16.5	Ensure candidate was accompanied by invigilator	
29	8	What are the rules regarding candidates arriving after the start of the exam?	Invigilator	14	<ul style="list-style-type: none"> • Subject to agreement of the centre. • Regulations in points 14.4 and 14.5 must not be breached. • When candidate is more than 30 minutes late <ul style="list-style-type: none"> • a letter should be sent to City & Guilds • the candidate must complete a Declaration of no prior knowledge • the candidate must be told that City & Guilds may not accept the work 	N/A for Functional Skills, but any late joiners must not disturb other candidates.

31 32	9	<p>Since the exam finished early, there was not the opportunity to observe you giving final instructions to the candidates.</p> <ul style="list-style-type: none"> • What warnings would you give to candidates that the finishing time is approaching? • What instructions would you give to candidates at the end of the examination? 	Invigilator	19	<p>Between 15 and 5 minutes before end of examination.</p> <p>Candidates must be told to stop writing</p>	
36 37	10	What will now happen to the scripts?	Exams officer/ Invigilator	20, 21, 22	<ul style="list-style-type: none"> • Scripts despatched on day of exam • If this isn't possible, scripts kept locked under the same conditions as unused exam papers and despatched within one working day of exam 	
38	11	What will happen to the used and unused multiple choice paper booklets?	Exams officer	20, 21, 22, 23	Returned to City & Guilds or destroyed (photocopies not made)	

Misconduct and irregularities

39	12	What would you do if a candidate were hindering, and continued to hinder, other candidates during an exam?	Invigilator	6.3	<ul style="list-style-type: none"> • Expel candidate from exam room • Ensure centre reported • incident to City & Guilds 	
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Emergencies

39	13	How would you summon assistance if a candidate was taken ill during an exam and you were the only invigilator?	Invigilator	6.3	Answer to indicate that invigilator knows that s/he must not leave exam room	
40	14	What would you do if there were a fire alarm or bomb warning during the exam?	Invigilator	18	<ul style="list-style-type: none"> • Try and ensure that candidates left question papers and scripts on their desks • Evacuate room in accordance with centre instructions • Ensure centre informed City & Guilds 	
40	15	In what circumstances would you resume the exam?	Invigilator	18	If certain there had been no breach of exam security during the disruption.	

Candidates with particular assessment requirements

41	16	<p>Have you had to make special arrangements for candidates within the last year?</p> <p><i>If 'yes'</i></p> <p>Ask to see the relevant medical/professional evidence. (NB this is necessary for all candidates and should be retained for one year after the exam.)</p> <p><i>If 'not within last year' or 'no'</i></p> <p>What steps were/would be taken to ensure that both the candidate's and City & Guilds' requirements were met?</p>	Exams officer	-	<p>Relevant evidence presented:.</p> <p>Answer should indicate that reference was/would be made to <i>Access to assessment</i>, and that centre is aware of the general procedures involved.</p>	
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7	17	Is the centre fully conversant with the rules regarding readers/writers not acting as invigilators?	Exams officer	7	<ul style="list-style-type: none"> • When readers/writers are provided for candidates with special assessment requirements, an invigilator must also be present • Readers/writers may not also act as invigilators 	N/A for all qualifications
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Additional questions	Interviewee (name and job title)	Summary of responses and additional notes