Skillsfirst Awards Ltd

Instructions for Conducting Controlled Assessments

September 2019

v1

Contents

1. Purpose

Skillsfirst Awards Ltd (Skillsfirst) are committed to ensuring all centres administer ALL controlled assessments (exams) consistently and securely, supporting the management of standards and the integrity of Skillsfirst qualifications / assessments.

This document sets out Skillsfirst's requirements which must be followed by Skillsfirst recognised centres when administering and invigilating both on-screen and paper-based controlled assessments
and includes:
   a) Venue requirements;
   b) Administration and invigilation requirements;
   c) Storage and security of controlled assessments;
   d) Unannounced invigilation audit checklist

Learners must be provided with a quiet environment which must be undisturbed for the duration of a controlled assessment (see Assessment Venue Requirements for more information). Learners must have access to the fully operable on-screen system, which must be installed onto the machine prior to the assessment commencing, or paper-based material which must be secured and returned (if applicable) immediately following the assessment in accordance with Skillsfirst's requirements.

Should the invigilator encounter a problem with any aspect of the assessment, they must contact Skillsfirst immediately either by email exams@skillsfirst.co.uk or by phone on 0121 270 5100 (option 1).

To reduce the risk of malpractice and plagiarism, learners must be supervised throughout the assessment. Learners must be seated separately and made aware they are not permitted to interact with anyone other than the invigilator (if necessary).

This document is for the use of Skillsfirst recognised centres, learners and Skillsfirst staff.

Failure to comply with the contents of this document may be deemed as malpractice and may result in a sanction being placed on the centre, or a learner's exam being declared void. Please refer to Skillsfirst's Sanctions and Malpractice & Maladministration policies which are available on our website for further information www.skillsfirst.co.uk

2. Scope

This document is applicable to Ofqual regulated qualifications containing controlled assessments including legacy Functional Skills English, mathematics and ICT Levels 1 and 2 and reformed Functional Skills English and mathematics Levels 1 and 2.

3. Head of Centre responsibilities

It is the responsibility of the Head of Centre (HoC) to ensure:

   a) All invigilators are trained, familiar with and understand the conditions outlined within this document;
   b) The conditions outlined within this document are met at all times;
   c) Regular training / standardisation activities take place to ensure compliance, consistency and standardisation across all invigilators; these activities must be recorded and made available to Skillsfirst and or your External Verifier (EV) upon request.

The head of centre must ensure that:

Administration of exams

No tutor of a Functional Skills qualification can be involved in the administration of the assessment materials for level 1 and 2 exams in that subject, regardless of the level they teach.

Invigilation of exams

A Functional Skills subject tutor must not be involved in the invigilation of that subject, even if they have not taught those candidates (i.e. a Functional Skills English tutor must not invigilate any Functional Skills English exam and a Functional Skills Maths tutor must not invigilate any Functional Skills Maths exam, regardless of the level they teach).

Exceptions

A centre must ensure that it has a suitable invigilator available for all level 1 and 2 Functional Skills exams.

There are no automatic exceptions to this rule. In exceptional circumstances, where only a tutor can access the assessment location and/or the candidates, some adjustment may be granted by prior arrangement with, and at the discretion of, the awarding organisation.

Any exception on these grounds must be agreed by the AO in advance of the exam date. An exception may also require the centre to agree to additional measures to ensure the security of materials and additional monitoring by the AO.

Please see the link below for clarification:

https://ofqual.blog.gov.uk/2019/09/25/invigilating-reformed-functional-skills-qualifications/

4.   Definitions

Administration	Administration' includes initial receipt of confidential materials, secure storage, movement and preparation of materials for scheduled assessments, and registration, secure storage and return of materials to Skillsfirst Awards after scheduled exams are completed.
Controlled assessment	A type of formative assessment of the learning outcomes where the supervision of a learner assessment is required. This may cover a range of assessment methods such as multiple choice, written questions, short answer and knowledge assessment tasks.
Invigilator	The person in the assessment room (exam room) who is responsible for managing the assessment session (exam). The role of the invigilator is to: • Ensure the security of the assessment before, during and after the assessment • Prevent learner plagiarism / collusion • Prevent malpractice • Prevent administrative failures • Ensure all learners have an equal opportunity to demonstrate their abilities
Ratio of invigilator to learners	For paper-based assessments, the invigilator to learner ratio must be no more than 1:30 For on-screen assessments, the invigilator to learner ratio must be no more than 1:20

5.   Exam platforms

Qualification	Qualification codes	Exam platform
Reformed Functional Skills English	RFSE1 / RFSE2	XAMS
Reformed Functional Skills Maths	RFSM1 / RFSM2	XAMS
Functional Skills English	FSE01 / FSE02	SecureAssess
Functional Skills Maths	FSM01 / FSM02	SecureAssess
Functional Skills ICT	FSI01 / FSI02	SecureAssess

6.   Assessment venue requirements

Centres must ensure that all controlled assessments (exams) take place in an appropriate environment. Whilst controlled assessments normally take place at the centres registered address, assessments may be carried out at other venues subject to the following conditions being fully met:

- Centres keep Skillsfirst up to date with the location of ALL assessment venues
- All assessment venues meet all requirements in this document
- The centre understands that Skillsfirst may require access to ALL venues for the purposes of inspection and or unannounced spot checks
- The transport, handling and storage of ALL assessment materials from the main centre address to an alternative assessment venue is carried out with due regard to the security and integrity of assessment materials, before, during and after the assessment.

False or misleading statements by centres in respect of assessment venues may result in suspension, or withdrawal of centre recognition and assessments may be declared void.

Skillsfirst will monitor adherence to these requirements through our quality assurance procedures including external verification activities and unannounced invigilation audits.

6.1   The exam room

All rooms in which an exam takes place, albeit it for an on-screen or paper-based assessment, must provide learners with appropriate conditions for taking the exam, in particular:

- Noise outside the exam room
- Heating
- Lighting
- Ventilation
- Health and safety

Only authorised members of staff (i.e. invigilator or exams officer) may be present in the exam room.

The room should include sufficient space at the front for the invigilator to sit and be able to observe all learners.

For on-screen assessments, an appropriately trained person should be available during the assessment to deal with any technical queries that may arise. In the event of equipment failure, where possible at least one additional PC / laptop should be available.

Only learners who are sitting the assessment may be present in the exam room whilst exams are taking place.

Learners **must not** bring mobile phones / smart watches / tablets or any other electrical devise into the exam room. The Head of Centre must make provision for learners to securely store their personal belongings outside the room or within the room, but out of reach. Access to personal belongings must be monitored by the invigilator throughout the exam.

6.2   Seating Arrangements

Seating arrangements must prevent learners from overlooking the work of others. The minimum distance in all directions of learners' chairs must be 1.25 metres. There must also be space for the Invigilator in the room.

For paper-based exams:

- all learners should face in the same direction
- each learner should have a separate desk / table large enough to hold question papers. Learners who are not seated at individual desks must be far enough apart (minimum 1.25m) so that their work cannot be seen by and contact cannot be made with other learners

For on-screen (computer-based) exams:

- the room layout must be planned to prevent work being overseen by other learners, or contact made with other learners
- there must be at least 1.5 metres between each screen
- consideration should be given to dividing workspaces with privacy boards, booths, or partitions (temporary or permanent)

Learners must not be permitted to change seats unless it is absolutely necessary and they are asked to do so by the invigilator.

The Invigilator must create:

- a seating plan that shows the position of each learner and the invigilator in the exam. Any changes made to seating arrangements during the exam must be recorded
- an attendance register confirming all learners in the exam room
- an invigilation report; if there are any disturbances these must be recorded on the report

Learners for whom reasonable adjustments have been made must be clearly identified.

All records must be retained by the centre for a minimum of 3 years and made available to Skillsfirst and/or your External Verifier upon request and/or as part of Skillsfirst's unannounced spot-checks.

6.3   Display Materials

Display materials such as posters, wall charts, information leaflets or other visual materials which might be helpful to learners **must not** be visible in the exam room.

The following items **must** be on display in the exam room:

- A poster instructing learners that mobile devices are not allowed in the exam room (see Appendix 2)
- Exam rules notice for learners (see Appendix 1)
- Start/finish times of the exam
- A reliable clock, large enough for all learners to read clearly (or other suitable time keeping device e.g. for on-screen exams, the time displayed via the computer screen) must be visible to each learner in the exam room
- Emergency/evacuation procedures

There must be a sign outside the exam room, clearly visible to others in the building that an exam is taking place (see Appendix 3)

6.4   Access to resources

The resources a learner is permitted to access during the exam are listed on the front page of the exam paper, or for on-screen exams when they log into the exam system (see tables below for restricted / prohibited resources for each qualification).

Any learners found to have any unauthorised material in the exam room (whether or not they intend to use it) will be considered as malpractice, resulting in the learner's exam result being declared void.

Learners must be given prior notice of any materials needed for the assessment.

FSE01 - Skillsfirst Functional Skills Qualification in English Level 1 FSE02 – Skillsfirst Functional Skills Qualification in English Level 2	
• Learners are **NOT** permitted to use a bilingual dictionary during the assessments for these qualifications. • Internet access is **NOT** permitted.	
Dictionaries must be: • Non-electric	**Dictionaries must not:** • Contain any unauthorised information such as notes or revision information within or written on the dictionary

RFSE1 - Skillsfirst Level 1 Functional Skills Qualification in English RFSE2 - Skillsfirst Level 2 Functional Skills Qualification in English	
• Learners are **NOT** permitted to use a bilingual dictionary during the assessments for these qualifications. • Internet access is **NOT** permitted.	
Writing component	
Dictionaries: Learners are **NOT** permitted to use a dictionary or grammar / spellcheck software during this assessment	
Reading component	
Dictionaries must be: • Non-electric	**Dictionaries must not:** Contain any unauthorised information such as notes or revision information within or written on the dictionary

FSM01 - Skillsfirst Functional Skills Qualification in Mathematics Level 1 FSM02 - Skillsfirst Functional Skills Qualification in Mathematics Level 2 RFSM1 - Skillsfirst Level 1 Functional Skills Qualification in Mathematics RFSM2 - Skillsfirst Level 2 Functional Skills Qualification in Mathematics	
• Learners may only use a calculator in an exam if the instructions on the question paper clearly state they can be used (for paper-based and on-screen exams) **Please note,** For RFSM1 / RFSM2 calculators are **NOT** permitted in Section A. • Where the use of a calculator is permitted, invigilators are responsible for making sure all calculators meet Skillsfirst's requirements as set out below. • Internet access is **NOT** permitted.	

Calculators must be:
 • free of covers, cases or lids which have printed instructions or formulas
 • of a size suitable for use on the desk
 • non-scientific
	Calculators must not:
	 • have information stored in them, for example:
	   - mathematical formulas
	   - dictionaries
	   - text of any kind
	   - databanks
	 • offer any of the following facilities:
	   - symbolic algebra manipulation
	   - symbolic differentiation or integration

The learner is responsible for the following: • clearing anything stored in the calculator • the calculator's working condition • the power supply of the calculator	

	- communicate with the internet or any other device / machine
	- language translators
	• be borrowed from another learner during an exam
Dictionaries must be: • Non-electric	**Dictionaries must not:** Contain any unauthorised information such as notes or revision information within or written on the dictionary

FSI01 - Skillsfirst Functional Skills Qualification in Information and Communication Technology (ICT) Level 1 **FSI02 - Skillsfirst Functional Skills Qualification in Information and Communication Technology (ICT) Level 2**	
• Learners may only use the internet in an exam if the instructions on the question paper clearly state it can be used (for paper-based and on-screen exams). **Please note,** Internet access is **NOT** permitted in Section B of the exam. • Where the use of the internet is **NOT** permitted, it is the invigilators responsibility to observe this.	
Memory sticks must be: • Clear of any other material including previous learner's work	
Dictionaries must be: • Non-electric	**Dictionaries must not:** Contain any unauthorised information such as notes or revision information within or written on the dictionary

Please note: We issue additional Functional Skills ICT invigilation guidance which must be adhered to when invigilating Functional Skills ICT exams. Please see 'Functional Skills ICT Invigilation Guidance v4.3 Feb 16' located on our website for these additional requirements.

7. Invigilation Rules

7.1 The invigilator

A centre must have systems and checks in place to ensure that an exam is not undertaken or invigilated by anyone who has a personal interest in the result of the assessment.

Please note for Functional Skills Qualifications:

No person who teaches, or has any role in the delivery of a level 1 or 2 Functional Skills qualification can be responsible for the invigilation of paper-based or on-screen assessments for that subject (regardless of the level they teach), even if they have not taught that cohort.

An invigilator cannot be a current learner at the centre or any relative, friend or peer of a learner in the exam room.

Any potential or actual conflicts identified by a centre must be reported to Skillsfirst before the exam commences to enable alternative arrangements to be put in place.

Centres must ensure that there are sufficient invigilators to monitor all learners at all times. Dependent on the cohort size, centres may need to increase the number of invigilators in the assessment room to provide the necessary assurance.

The invigilator to learner ratio is a minimum of 1:30 for paper-based exams and 1:20 for on-screen exams.

When only one invigilator is present, he or she must be able to get help easily without leaving the exam room and without disturbing learners. This could include the use of a two-way radio or mobile phone (mobile phones are only permitted in the exam room for this purpose and must be kept on silent to prevent disturbances to learners).

An invigilator **must not** be a current learner at the centre or a relative, friend or peer of a learner in the exam room.

Any potential or actual conflicts identified by a centre must be reported to Skillsfirst before the exam so that alternative arrangements can be made.

7.2 The role of the invigilator

Invigilators must ensure they are familiar with the requirements outlined within this document and that they give their full attention to conducting the assessment in line with Skillsfirst's requirements at all times.

The role of the invigilator is to:

- prevent possible learner collusion / plagiarism
- ensure all learners have an equal opportunity to demonstrate their abilities
- ensure the security of the assessment before, during and after the assessment
- ensure previously approved reasonable adjustments have been put in place prior to the exam commencing
- prevent possible administrative or hardware failures

Invigilators must supervise the learners throughout the exam and give their complete attention to this duty at all times. Invigilators must not carry out any other task whilst an exam is taking place.

It is important centres have a plan in place to cover any disruption and how the arrangements will be communicated to centre staff and learners i.e. fire evacuation or bomb alert. In the event a centre is unable to open to facilitate the scheduled exams, Skillsfirst should be notified immediately.

7.2.1 Starting the assessment

Before the assessment starts, the Invigilator must:

- Check there is a clock visible to all learners
- Check that all relevant notices are displayed and are visible to all learners
- Check the identity of all learners using photographic ID (e.g. passport, driver's license)
- Advise learners who are unable to provide the required photographic ID that they cannot sit the exam, and that they must leave the exam room (unless their identity can be verified by their assessor)
- Complete the attendance register and seating plan
- Confirm there are no conflicts of interest between invigilator and learners
- Ensure the seating arrangements meet Skillsfirst requirements
- Inform learners that they must follow the regulations of the assessment (for paper based and on-screen assessments)
- Ensure learners do not have access to items other than those stated in the instructions on the question paper, the stationery list or the qualification handbook for that subject
- Ensure that no course materials or learning aids can be seen by any learners
- Ensure that learners do not have access to potential technological / web enabled sources of information, such as: (this is not an exhaustive list)
  - ➤ iPods/ iWatches
  - ➤ mobile phones

> ➢ MP3/4 players
> ➢ wrist watches which have a data storage device

Advise learners of emergency/evacuation procedures

- For **paper-based** assessments:

  > ➢ Open the package(s) containing the exam papers, in the exam room in front of the learners and distribute to learners (face-up on the desk). This includes any modified papers
  > ➢ Check that learners have the correct paper

- For **on-screen** assessments:

  > ➢ Distribute individual log in details to learners
  > ➢ Ask learners to check they have the right log in details, including their correct name, date of birth and subject / level

The Invigilator **must**:

- Specify the start and finish time of the assessment
- Remind learners that they must not communicate in any way with, ask for help from, or give help to another learner while they are in the exam room
- Only answer questions from learners about the instructions on the front of the assessment
- Announce clearly to learners when they may begin

The Invigilator **must not**:

- Make any comment where a learner believes there is an error or omission on the question paper. In this situation, the Invigilator must refer the matter to the Head of the Centre, who must notify Skillsfirst immediately
- Read aloud any content of the exam paper, other than the instructions on the front cover prior to the assessment beginning
- Offer advice, re-phrase, or explain a question to a learner
- Comment on the work of a learner

7.2.2 During the assessment

Invigilators must supervise learners throughout the whole time that an assessment is in progress. This means that:
- Invigilators must give complete attention to this duty at all times
- Invigilators must not carry out any other task (e.g. doing other work, using a mobile phone, read a book)
- Invigilators are required to move around the exam room, quietly and at frequent intervals
- Invigilators must monitor the use of ICT where assessments are on-screen to ensure that learners are not accessing material, applications or software that is not permitted.

7.2.3 Learners who arrive late

It is at the discretion of the centre whether a learner who arrives after the start of an exam is allowed to enter the exam room and sit the assessment.

Learners who arrive after the start of the assessment should be allowed the full time for the assessment and must be supervised during the whole assessment.

In all circumstances, the security of the assessment paper (including on-screen assessments) must be secured.

7.2.4 Leaving the assessment room

Where learners have completed their assessment and are permitted to leave before the finish time, they must be instructed to do so quietly, without causing undue disruption to other learners. For paper-based assessments, their assessment paper must be collected before they leave the assessment room.

Under no circumstances must assessment papers leave the assessment room before the end of the assessment.

7.2.5 Emergencies

Centres must have a written policy for dealing with an emergency evacuation of an assessment room, at all assessment venues. This should include contingency plans for possible disruptions to assessments.

The invigilator must take the following action in an emergency such as fire evacuation or bomb alert:

- Stop the learners from writing
- Collect the attendance register and evacuate the assessment room in line with the centre's procedure
- Advise learners to leave the assessment papers and their answers in the assessment room and to leave the room in silence
- Ensure that learners are supervised as closely as possible while they are out of the assessment room to ensure there is no discussion about the assessment papers
- Record the time of the interruption and how long it lasted
- Complete a full report of the incident and the action taken and send it to exams@skillsfirst.co.uk
- Where the incident may have adversely affected learners' ability to complete the assessment, the centre should follow the special considerations procedures set out in Skillsfirst's Reasonable Adjustments and Special Considerations Policy located on our website www.skillsfirst.co.uk

When possible, when the assessment is resumed, you must allow the learners the full scheduled time set for the assessment.

As each emergency situation will be different, advice must be sought from Skillsfirst as soon as it is safe and practicable to do so. Any concerns about a potential breach of the security of an assessment paper must be reported to Skillsfirst immediately.

7.2.6 Ending the assessment

When ending the assessment, Invigilators should give sufficient notice to learners. This is normally achieved by giving fifteen minute and five minute warnings prior to the published finish time. For on-screen assessments a clock is visible on-screen to learners.

Ensure that each learner that has been granted extra time and / or supervised rest breaks is not disrupted by these warnings and is allocated the correct individual amount of time.

For paper-based exams, at the end of the assessment, invigilators must tell the learners to stop working and remind them that they are still under controlled assessment conditions:

- Instruct learners taking paper-based exams to:

  - Ensure they have put all necessary information on their answer booklets and any additional answer sheets
  - Ensure they put any loose additional answer sheets inside the answer booklet, and then firmly attach them to the booklet
  - Ensure any resource documents are returned with the answer booklet. These must not be retained by the learner or the centre and must be returned to Skillsfirst Awards with the answer booklet.

All paper-based exam papers must be collected and placed in secure storage prior to returning to Skillsfirst Awards for marking. The invigilator must check that every question and answer booklet and any resource documents have been returned before the learners are allowed to leave the room.

The invigilator must also check that:

- The names on the answer books match the details on the attendance list
- The learners have used their correct centre and learner numbers

At no point must any indication be given to learners as to whether it is believed that they have passed or failed the assessment. The marking of exam papers by centre staff, to pre-empt awards will be treated as malpractice and could result in the withdrawal of centre approval.

Exam papers must be sent according to the instructions provided and returned to Skillsfirst within 24 hours of the assessment taking place.

The attendance register should be copied and the original returned to Skillsfirst Awards in line with the guidance included in the individual qualification handbooks; or as requested by Skillsfirst Awards in the case of any issues occurring that Skillsfirst Awards or the marker need to be made aware of.

- Instruct learners taking online exams to:
  - Ensure any work is saved and secure from unauthorised access
  - Return any exam material, including copies of learner's work
  - Return any scrap paper to be recycled.

Any breach of the invigilation process will be treated as maladministration and/or malpractice and will be dealt with in line with Skillsfirst's Malpractice and Maladministration Policy.

7.2.7   Retaining invigilation records

Centres **must** retain signed records of the seating plan, attendance register, and invigilation / supervision reports for each exam sitting for a minimum of 3 years from the date of the exam sitting. Skillsfirst reserve the right to request copies of these records at any time. As part of our quality assurance process, Skillsfirst external verifiers will sample these records during external verification visits.

7.3   Invigilating learners with access arrangements

Skillsfirst has a Reasonable Adjustments & Special Consideration policy to prevent discrimination in the assessment of skills and knowledge, therefore allowing reasonable adjustments to assist learners in demonstrating competence. Visit our website to view the Reasonable Adjustments & Special Consideration policy and permissions table www.skillsfirst.co.uk It is important approval is granted from Skillsfirst where applicable.

8   Storage and security of assessments and confidential information

Centres must be able to demonstrate that appropriate security systems are in place to prevent unauthorised access to assessment materials. This will be checked as part of Skillsfirst Awards external quality assurance procedures including through scheduled external verification visits and unannounced centre visits to monitor live exams.

8.1   Security for paper-based assessments

Assessment papers, or any of the content within, cannot be retained or copied after assessments, for teaching or assessment practice. All instructions within qualification handbooks and contained within assessment papers and resources must be adhered to.

The contents of all materials must be treated as strictly confidential and should not be shared with anyone other than those taking or administering the assessments. Copies may not be issued to anyone, including teaching staff.

Assessment papers and any other confidential material e.g. answer booklets, must be stored securely at the centre's registered address in a safe or secure lockable cupboard with restricted access (as authorised by the Head of Centre) in a secure, locked room.

Skillsfirst Awards must be notified immediately if any known or suspected infringement of these conditions take place.

Centres must be able to demonstrate:

- The receipt, secure movement and secure storage of question papers and confidential materials.
- That the appropriate security systems are in place to prevent unauthorised access to the exam/assessment materials.
- That appropriate arrangements are in place to ensure that confidential materials are delivered only to those authorised by the head of centre. These should be adults with an appropriate level of responsibility within the centre, and not current learners at the centre.
- The head of centre is responsible for monitoring any conflicts of interest which may arise, and be confident that the security of confidential assessment materials is maintained, from the point of their delivery at the centre to their return to Skillsfirst Awards.
- That envelopes and boxes containing confidential materials are signed for. A log must be kept recording the receipt, movement and despatch of confidential assessment materials including, if appropriate, the number of boxes/packets received. This log must be made available for review on request.
- That live assessment materials are stored securely at all times both before and after assessments.
- That all assessment papers issued by Skillsfirst Awards are returned as instructed, including any unused papers or materials.

8.2   Security for online assessments

Centres must have the relevant software installed to administer the tests and demonstrate that the appropriate security systems are in place to prevent unauthorised access to the exam/assessment materials.

Electronic assessment materials must only be accessed in accordance with Skillsfirst Awards' instructions.

Exam login details and keycodes must be stored securely and only given to learners at the time of the exam. The invigilator must check the identity of each learner to ensure the correct details are given. The invigilator must oversee the input of the learner's login details and keycode to ensure that the learner has checked that the name and date of birth on the exam screen is correct.

If an invigilator, or learner, becomes aware that an exam is being sat in the wrong name, the exam must be stopped. This may constitute malpractice.

Centres must have appropriate security systems and procedures in place to prevent learners using computers/laptops in exams having unauthorised external communication with other users of computers/laptops.

9. Unannounced Invigilation Audits

Unannounced invigilation audits are essential for maintaining and improving quality. They are carried out by a member of Skillsfirst Awards to ensure that all relevant procedures are being complied with and to prevent malpractice. Such checks will create the opportunity to comment on good practice and also identify areas for improvement. This guidance provides a framework for carrying out unannounced invigilation audits and includes templates for recording that these have taken place.

Centres must provide the person carrying out the audit, access to premises, people and records relating to learner exams, and internal quality assurance. Failure to allow access will be considered to be a breach of the centre agreement and will result in sanctions being imposed on the Centre subject to further checks.

The frequency of unannounced invigilation audits will be determined by Skillsfirst Awards' risk based approach to centre monitoring. In any situation where Skillsfirst Awards has concerns about the ability of a Centre to meet the terms and conditions of the Centre agreement, quality assurance requirements or financial obligations then Skillsfirst Awards will undertake an unannounced audit to determine the level of risk to the security of the qualification(s).

Centres will receive feedback from the unannounced visit, including an action plan if applicable, through the Skillsfirst Awards Unannounced Invigilation Audit Report (see appendix 4) within ten working days.

Appendix 1   Learner exam rules

Before the exam
Learners must:

	Arrive at your exam location 10 minutes before the exam begins
	Bring photo ID with you, this will be checked before the exam
	Leave all personal belongings in the designated area of the room. This includes mobile phones, mobile devices and smart watches. These must be fully **switched off** and **must not** be kept on your person.
	Ensure any pens, pencils and equipment necessary for the exam are in a clear plastic bag or pencil case
	Sit in the seat that is allocated to you according to the seating plan
	Refrain from communicating with other learners and follow all instructions provided by the invigilator(s)

Learners **must not**:

	Allow themselves to be impersonated or impersonate another learner
	Enter the exam room more than 15 minutes after the exam has started without the permission of the invigilator
	Open the exam paper or write on it, until you are told to do so by the invigilator

This must be displayed outside each examination room. This may be a hard copy A3 paper version or an image of the poster on a wall for all learners to see

During the exam

Learners must:

✻	Follow all instructions provided by the invigilators
✻	Read the instructions on front of the exam paper and/or answer booklet (if applicable) and fill in your details carefully For on-screen exams, check you learner details are correct on screen, notify the invigilator immediately if these are incorrect
✻	Complete any rough work on the exam stationery provided (if applicable) and cross through it to show it is rough work
✻	Gain the attention of the invigilator if you need to go to the toilet, are feeling ill or need more paper

Learners **must not**:

✻	Talk to anyone other than the invigilator
✻	Bring with them into the exam, any unauthorised books, notes, learning materials or equipment including recording or communication devices or headphones
✻	Copy the work of any other learner, or allow your own work to be copied
✻	Pass off another person's work as your own
✻	Remove any exam material from the room at any point

This must be displayed outside each examination room. This may be a hard copy A3 paper version or an image of the poster on a wall for all learners to see

At the end of the exam

Learners **must:**

✹	Ensure all papers are in the correct order, that you have included any loose sheets and that your name is on every piece of work (for paper based exams)
✹	Ensure you have uploaded your work (if applicable) and exited (finished) your exam correctly for on- screen exams. NB: follow the on-screen instructions carefully

Learners **must not**:

✹	Leave the exam room until you have permission from the invigilator
✹	Do not remove any exam materials/stationery from the room under any circumstance

This must be displayed outside each examination room. This may be a hard copy A3 paper version or an image of the poster on a wall for all learners to see

LEARNERS MUST NOT HAVE ACCESS TO PERSONAL WEB ENABLED ELECTRONIC DEVICES IN THE EXAM ROOM

MOBILE PHONES, IPODS, MP3/4 PLAYERS, TABLETS AND SMART WATCHES ARE PROHIBITED

POSSESSION OF PROHIBITED ITEMS WILL RESULT IN

DISQUALIFICATION

UNDER NO CIRCUMSTANCES SHOULD LEARNERS HAVE MOBILE PHONES IN THEIR POSSESSION, WHETHER SWITCHED ON OR OFF, WHILST IN THE EXAM ROOM

This poster must be displayed outside each examination room

QUIET PLEASE

EXAM IN PROGRESS

Appendix 4   Unannounced invigilation audit report

A representative from Skillsfirst Awards will use this checklist to review the invigilation of assessments observed during an unannounced visit.

Completed forms will be returned to the Skillsfirst Quality Assurance Advisor's and forwarded to the Head of Centre.

We recommend Centre's use this checklist to conduct internal quality assurance checks.

Centre name / number:		
Representative undertaking visit:		
Address where assessment took place:		
Invigilator name:		
Date and Time of assessment:		

A	Arranging the Assessment Room	'YES' Please tick ☐	Comments
1.	Check that the assessment room walls are clear of any material that may assist learners		
2.	Check that the centre has the following on display: • Poster advising learners that electronic devices (phones, smart watches etc.) are not allowed in the assessment room • Learner exam rules • Emergency/Evacuation procedures • A working clock that all learners can see clearly • A board showing the assessment date, start and finish time		
3.	Desks/computers are correctly spaced (at least 1.25 metres)		
4.	There is a sign clearly visible to others in the building that an assessment is taking place		
5.	Learners have access to the required data files *(Functional Skills ICT Assessments only)*		
6.	There is IT support available for the set up and duration of onscreen assessments		

B	Identifying Learners	☐	
7.	The identities of all learners are checked using photographic ID (e.g. passport, driver's licence or college issued ID card) **and** the relevant Attendance Register has been completed to identify learners at the assessment		
8.	Learners unable to provide the required identity documents and photographic ID are advised that they **cannot** sit the assessment		

C	Before the Assessment Starts	☐	
9.	The Invigilator(s) is an appropriate person who does not have a conflict of interest with the learner(s) and/or qualification being assessed		

10.	There is a second Invigilator present/available and able to contact in case of emergencies, illness and toilet breaks		
11.	The Invigilator to learner ratio is within the guidance of 1:30 for paper-based assessments and 1:20 for on-screen assessments		
12.	Learners are told they are subject to controlled assessment conditions		
13.	Learners attention is drawn to: • Emergency/Evacuation procedures • Poster advising learners that mobile phones, tablets, media players or other data storing devices must be switched off and not used during the assessment • Learner exam rules		
14.	Learners are told that they must place any unauthorised materials, including course notes, at the front, or back of the room and only equipment required for the assessment is available		
15.	Learners told when they can begin, how much time they have, and when they can leave the assessment room		
16.	Learners who arrive after the assessment starts are managed in line with the centre's policy		
Paper–Based Assessments			
17.	Envelope(s) containing the assessment papers are opened in the assessment room		
18.	Learners are told: • To enter their personal details on to the question and answer paper *(if this has not already been completed)* • To read the instructions on the front of the question and answer paper		
19.	Learners reminded to use only blue or black ink *(pens issued if applicable)*		
On-screen Assessments			
20.	The invigilator ensured that the correct login details including keycode was given to each learner		
21.	The invigilator supervises the input of the login details for each learner to confirm that the learner has checked that the name on the assessment screen is correct		

D	**During the Assessment**	☐	
22.	The Invigilator is vigilant throughout and supervises the learners **at all times** to prevent cheating and distractions. This includes walking around the assessment room		
23.	The Invigilator did not give any information to learners about the content of any question or answer within the assessment or the requirements for answering particular questions		
24.	The Invigilator did not carry out any other task / work whilst in the assessment room		
25.	Learners are given a 15 minute and a 5 minute warning before the end of the assessment and advised to stop writing/typing at the end of the assessment		
26.	For ICT assessments, the Invigilator monitored the use of internet and email. (At no time, except as required for ICT Functional skills, should learners access these programmes. Any use of internet and email should be reported to Skillsfirst Awards and the learner warned that this may lead to disqualification)		
27.	In the event of an emergency, the emergency process was implemented and recorded on the invigilation report		

E	**At the End of the Assessment**	☐	
28.	The Invigilator ensured that learners leaving before the finish time did so without causing distraction to others		
29.	The Invigilator collected all question and answer papers (***paper-based assessment only***), ensuring they were kept in a secure place before being sent for marking		

30.	The Attendance Sheet was retained according to guidance		
31.	All resources and downloads saved to the machine were fully removed by the Invigilator *(Functional Skills ICT only)*		

Additional Comments:

Actions/Recommendations for Centre

	(add additional rows as necessary) **Actions**	By Whom	By When
1			
2			
3			
	Recommendations	By Whom	By When
1			
2			
3			

Good Practice Identified:

Signature of Skillsfirst Representative:	Signature of Invigilator:
Print Name:	Print Name: