

Exam Audit Activity

Section 1 Contact details

1.1 Service Order	8000006742
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1.2 Centre Name	Morris Services Ltd
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1.3 Centre number	008107
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1.4 Centre contact	James Morris
- Title	
- First name	James
- Surname	Morris
- Telephone number*	
- Email address*	enquiries@morrisservices.co.uk

Consultant Name	David Pope
Type of Activity	Exam Audit Visit
Date of Activity (dd.mm.yyyy)	03.12.2012
Start Time (24 hrs clock)	17.45
Finish Time (24 hrs clock)	20.30

Location of activity	Centre
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Section 2 Summary of activity & centre staff met

2.1 General comments regarding the day including good practice, for support visit outline advice, guidance & training provided	All learners receive copy of exam rules prior to the exam. Anne Morris acted as Invigilator for this exam.
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2.2 Centre staff met	
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Staff Name	Role	Met
James Morris	MD/CEO/Principal	<input checked="" type="radio"/> Yes <input type="radio"/> No

2.3 Are there any risks with the Centre's quality assurance systems?	<input checked="" type="radio"/> Yes <input type="radio"/> No
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Has the previous action plan been met by the centre?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Comments	Action points raised at previous visit have been met in full. Qualification 2395 - 302

Section 3 Action/Improvement Plan

Date set (dd:mm:yyyy)	Action/Improvement Point (Please enter A or I before text to specify type of point)	By whom	By when (dd:mm:yyyy)	Date completed (dd:mm:yyyy)	To be checked by

Section 4 Examination audit report

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)
	04.12.2012		6	pm	18.30	

Details of staff interviewed during/involved in the audit

Name	Job title	Place of audit and address (if different from above)
James Morris	MD	
Anne Morris	invigilator	

Observations and questions

A. Before the examination

Question No.	Question Text	Ref In ICE doo & Risk Level	Answer
1	papers are kept in a safe, non-portable, lockable steel or metal cabinet	1.3 Medium	Req Fully Met
2	cabinet in room secure from non-authorized entry	1.1 Medium	Req Fully Met
3	room locked when not attended by authorised persons	1.1 Medium	Req Fully Met
4	question papers must remain in secure storage until one hour before the published starting time	1.9 High	Req Fully Met
5	criteria for appointing invigilators met	6.1, 6.2 Medium	Req Fully Met
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	Req Fully Met
7	readers/writers do not act as invigilators	7 Medium	Req Fully Met

B. Examination room

No	Question	Ref In ICE doo & Risk Level	Answer

8	examination room in quiet, undisturbed location	5.4 Low	Req Fully Met
9	only candidates and other persons required by the examination allowed in the room	10.3 Low	Req Fully Met
10	minimum distance of 1.25 metres between candidates chairs	5.10, 5.11 Low/Medium	Req Fully Met
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 others work)	5.11 Low	Req Fully Met
12	each candidate seated at a separate desk, table or workstation	5.11 Low/Medium	Req Partially met
13	seating plan made for examination room or standard form of seating used	5.13 Low	Req Fully Met
14	posters, display or other material relevant to examination removed or covered	5.6 Low	Req Fully Met
15	all candidates able to see a clock without turning around	5.7 Low	Req Fully Met
16	starting and finishing times of examination displayed where all candidates could see them	5.9 Low	Req Fully Met
17	no unauthorised material in the examination room	12.2 Low/Medium/High	Req Fully Met
18	minimum of one invigilator for every 30 candidates for written or 15-20 for on-line	6.3 Medium	Req Fully Met
19	where one invigilator present, s/he able to summon assistance easily without leaving examination room in case of emergency	6.3 Medium	Req Fully Met
20	number of invigilators never below number specified	6.3 medium	Req Fully Met
21	identity of each candidate established (particularly where candidates not personally known to invigilator)	9.1, 9.2, 9.3 Medium	Req Fully Met
22	identity of each candidate verified, specified ID produced in accordance with qualification guidelines (License to practice only)	License to practice only High	Req Fully Met
23	invigilators oversaw the input of the ID and password for each candidate (e-volve)	Appendix 1 2.5 Medium	Information not available
24	envelopes containing question papers not opened until immediately before the examination	12.2, 12.3 Medium	Req Fully Met

C. Starting the examination and invigilation

No	Question	Ref in ICE doc & Risk Level	Answer
25	rules read out to candidates at beginning of examination	12.3 Low	Req Fully Met
26	attendance list completed by invigilator	15 Low	Req Fully Met
27	invigilators observed candidates at all times	13.1 Low/Medium/High	Req Fully Met

28	rules known regarding candidates entering and leaving exam room	16.5, 16.6 Low	Req Fully Met
29	rules known regarding candidates arriving late	14 Low	Req Fully Met
30	rules known regarding candidates leaving exam room temporarily	16.5 Low	Req Fully Met

D. End of examination

No	Question	Ref in ICE doo & Risk Level	Answer
31	candidates reminded of time remaining between 15 and 5 minutes before end of examination	17 Low	Req Partially met
32	candidates told to stop writing when examination time has ended	19 Low	Req Fully Met
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	Req Fully Met
34	scripts checked for candidates names and numbers	19, 20 Low	Req Fully Met
34	scripts handed to person responsible for despatching them	20 Medium	Req Fully Met
36	scripts left in secure place (as in 1, 2, 3) when not dispatched immediately	22 Medium	Req Fully Met
37	rules for dispatching scripts known	22 Low	Req Fully Met
38	used and unused multiple choice booklets returned to City & Guilds or destroyed	23 Medium	Req Fully Met

E. Dealing with misconduct and irregularities

No	Question	Ref in ICE doo & Risk Level	Answer
39	centre aware of procedure	17, 24 Low/Medium	Req Fully Met

F. Dealing with emergencies

No	Question	Ref in ICE doo & Risk Level	Answer
40	centre aware of procedures	18 Low/Medium	Req Fully Met

G. Candidates with particular assessment requirements

No	Question	Ref in ICE doo & Risk Level	Answer
41	centre aware of arrangements which may need to be made	7, 8 Low/Medium	Req Fully Met

Please provide question no and comments to support where requirements have not been fully met.(51)

31 - learners only reminded of the time 5 minutes prior to the end of the exam, good practice states warning should be given at 15 minutes and 5 minutes.

Name of auditor	Dave Pope
Date (dd:mm:yyyy)	04.12.2012

I confirm that an audit of this centre's examination arrangements was undertaken on the date stated and I have been given a copy of this report. I accept the auditor's observations and comments.

Name	JAMES W MORRIS
Job title	CENTRE DIRECTOR
Date (dd.mm.yyyy)	11/12/2012



Section 5 Examination audit questions

Ref. in Report	No	Planned questions	Probable job title of interviewee	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	6.1 6.2 6.3	Suitably qualified and experienced. Integrity can be relied on.	Full training on procedures internal quality audits.
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.	Invigilator is selected to ensure that they are not a teacher or assessor for the learners being examined.
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.	Approval sought from C&G for a reader based on reports. Separate invigilator in separate room for learner and reader.
4	4	How long before the start of the exam did you collect exam papers?	Invigilator	19.1 10	Please summarise the response.	
4	4	After you collected the papers, how did you ensure that security of papers was not breached?	Invigilator	1.2	Please summarise the response.	
24	5	When did you open the question papers?	Invigilator	19.1 10	Papers not opened until immediately before the examination.	Papers opened at 18.25
28	6	What are the rules regarding candidates entering and leaving the exam room for exams lasting 2 or more hours, less than 2 hours?	Invigilator	16.1 16.2	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.	Invigilator to follow procedure found in JCQ - Instructions for Conducting Exams.
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.	Accompanied by invigilator.
29	8	What are the rules regarding candidates arriving after the start of the exam?	Invigilator	14	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 - a letter should be sent to City & Guilds, the candidate must complete a Declaration of no prior knowledge, the candid	Follow procedure in JCQ - Instructions for Conducting Exams.
31, 32	9		Invigilator	19	Between 15 and 5 minutes before end of examination, Candidates must be told to stop writing.	Five and Fifteen minutes from the exam end.

		Since the exam finished early, there was not the opportunity to observe you giving final instructions to the candidates - What warnings would you give to candidates that the finishing time is approaching?; What instructions would you give to candidates at				
36, 37	10	What will now happen to the scripts?	Exams officer/Invigilator	20, 21, 22	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	Scripts kept in secure cupboards.
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)	Returned to C&G.

Misconduct and irregularities

Ref. In Report	No	Planned questions	Probable Job title of Interviewee	Ref. In ICE document	Examples of responses expected	Summary of actual responses and additional notes
39	12	What would you do if a candidate were hindering, and continued to hinder, other candidates during an exam?	Invigilator	13.2, 17	Expel candidate from exam room; Ensure centre reported; Incident to City & Guilds	Remove and report.

Emergencies

Ref. In Report	No	Planned questions	Probable Job title of Interviewee	Ref. In ICE document	Examples of responses expected	Summary of actual responses and additional notes
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	Contact colleague without leaving room.
40	14	What would you do if there were a fire alarm or bomb warning during the exam?	Invigilator	18	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	Leave papers Instu, inform C&G.
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.	If no breach of security.

Candidates with particular assessment requirements

Ref. In Report	No	Planned questions	Probable Job title of Interviewee	Ref. In ICE document	Examples of responses expected	Summary of actual responses and additional notes
41	16	Have you had to make special arrangements for candidates within the last year? If [yes]; 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.) If [not within a	Exams officer	-	Relevant evidence presented.; Answer should indicate that reference was/would be made to Access to assessment, and that centre is aware of the general procedures involved.	Proof given, internal policies and procedures followed.
7	17	Is the centre fully conversant with the rules regarding readers/writers not acting as invigilators?	Exams officer	7	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	As JCC

Additional questions	Interviewee (name and job title)	Summary of responses and additional notes
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