



Joint Council for
Qualifications^{CIC}

Instructions for conducting Functional Skills assessments (English and Mathematics)

1 September 2023 to 31 August 2024

For the attention of heads of centre,
senior leaders within schools and colleges
and examination officers.

Produced on behalf of:



Contents

Introduction	1
1. Centre roles and responsibilities	2
General instructions for paper based and on-screen Functional Skills assessments	
2. Administration of assessments	4
3. Invigilation of assessments	5
4. Seating plans	8
5. Identification of candidates	9
6. The people present	10
7. Supervision of candidates	11
8. Candidates with disabilities and learning difficulties	12
9. Malpractice	13
Paper based on-demand Functional Skills English and Mathematics assessments	
10. Keeping paper based on-demand Functional Skills English and Mathematics assessments secure	15
11. Arranging the assessment room	19
12. Before the assessment	20
13. Specific instructions for Functional Skills Mathematics assessments	22
14. During the assessment	23
15. After the assessment	24
16. Candidates' scripts	25
17. Unused question papers	26
18. Security of content	27
19. Emergencies	28
On-demand, on-screen Functional Skills English and Mathematics assessments	
20. Invigilation	30
21. Security of assessment materials	31
22. Starting times for assessments	32
23. Resources for assessments	33
24. General environment/layout of the assessment room	34
25. Accommodation for on-screen assessments	35
26. Hardware and software	36
27. Starting the assessment	37
28. Specific instructions for on-demand, on-screen Mathematics assessments	38
29. Technical problems	39
30. Finishing the assessment	40

31. Leaving the assessment room	41
---------------------------------------	----

Appendices

Appendix 1 Warning to Candidates poster [†]	43
Appendix 2 Unauthorised items poster [†]	44
Appendix 3 Checklist for invigilators (paper based assessments)	45
Appendix 4 Checklist for invigilators (on-screen assessments)	48

[†]These JCQ documents are only provided electronically to centres. They may be found on the JCQ website:
<http://www.jcq.org.uk/exams-office>

Introduction

This document **must** be read in conjunction with the current version of the JCQ document *Instructions for conducting examinations 'ICE'* and any awarding body specific documentation. Where there are differences between ICE and this document, the instructions in this document will prevail.

This document is intended for schools, colleges, training providers and employers conducting paper based and/or on-screen Functional Skills assessments (English and Mathematics) at Levels 1 and 2. The head of centre and the examinations officer **must** familiarise themselves with the entire contents of this document.

For information about registration, entry and certification processes, centres should consult awarding body documentation.

Each centre **must** have a designated manager who is responsible for system security, the quality of provision and resources within the centre.

All centres running Level 1 and Level 2 Functional Skills qualifications **must** be approved by the relevant awarding body. Centres **must** have an official email address. Personal email addresses such as yahoo, hotmail and gmail **are not** acceptable. Emergency contact details **must** also be provided. These may be a mobile telephone number or a personal email address.

Awarding bodies reserve the right to conduct audits to ensure assessments are being administered correctly. Audits for paper-based assessments will be unannounced. For on-screen assessments, centres will be given advance notification of a potential audit*.

*All NCFE audits are unannounced irrespective of the mode of delivery.

Centres **must** ensure that the JCQ *Information for candidates* documents (on-screen tests, social media and written examinations) are distributed to all candidates either electronically or in hard copy format prior to the assessments taking place. These documents may be found at:

<https://www.jcq.org.uk/exams-office/information-for-candidates-documents>

1 Centre roles and responsibilities

Examinations officer

- 1.1** The examinations officer is responsible for:
- the safe and secure storage of all assessments;
 - allocating invigilators;
 - managing the security arrangements following receipt and completion of the assessments.

Head of centre/test manager

- 1.2** The head, principal or chief officer of a centre, approved by the awarding body, is defined for the purposes of this document as the head of centre.

The head of centre is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the assessments.

Quality nominee

- 1.3** The quality nominee **must** ensure that:
- suitably qualified and experienced adults invigilate the assessments;
 - appropriate arrangements are in place to enable invigilators to carry out adequate checks on the identity of all candidates.

Tutor

- 1.4** Anyone familiar with the Functional Skills subject content and the awarding body's specification, who uses these to prepare candidates for assessments, is classed as a tutor. This will include anyone involved in the following activities:
- preparing and delivering Functional Skills learning;
 - conducting formative assessment, including the use of Functional Skills sample tests;
 - providing feedback on candidate progress;
 - providing guidance to candidates on how to attempt questions in Functional Skills assessments;
 - making decisions about a candidate's readiness for Functional Skills assessments;
 - carrying out internal quality assurance for Functional Skills qualifications.

A tutor may also be described as an assessor, a lecturer, a supervisor, a teacher or a trainer.

General instructions for paper based and on-screen Functional Skills assessments

- 2 Administration of assessments
- 3 Invigilation of assessments
- 4 Seating plans
- 5 Identification of candidates
- 6 The people present
- 7 Supervision of candidates
- 8 Candidates with disabilities and learning difficulties
- 9 Malpractice

2 Administration of assessments

- 2.1** A tutor of a Functional Skills qualification **must not** be involved in the administration of the assessment materials for Level 1 and Level 2 assessments in that subject, regardless of the level they teach.

'Administration' includes registration, secure storage, initial receipt of confidential materials, movement and preparation of materials for scheduled assessments and the return of materials to the awarding body after the scheduled assessments have been conducted.

3 Invigilation of assessments

- 3.1** Invigilators are the people in the assessment room(s) responsible for conducting the assessment in the presence of the candidates.
- 3.2** The head of centre **must** ensure that suitably qualified and experienced adults act as invigilators. Whilst the head of centre has discretion to decide who is suitably qualified and experienced, any friend, relative or peer of a candidate in the assessment room **must not** be the sole invigilator.
- 3.3** Staff who have combined vocational and Functional Skills tutor roles **must not** invigilate where their tutor role covers the activities detailed in **paragraph 1.4**.
- 3.4** Many learning programmes incorporate the development of English and maths skills. Some staff are involved in the teaching and learning process but are not directly engaged in delivering content for, or preparing candidates for, Functional Skills assessments.

The following staff may invigilate:

- staff who solely carry out initial and diagnostic assessments;
- staff who direct candidates to online/e-learning programmes, who set up online/e-learning programmes for candidates and/or support candidates to access e-learning;
- vocational staff who incorporate English and maths into lessons where they occur in vocational programmes, but are not responsible for preparing candidates for Functional Skills assessments;
- staff who administer Functional Skills assessments.

The following staff **must not** invigilate:

- staff who directly support candidates working towards Functional Skills assessments, even if they are not the candidates' main Functional Skills tutor;
- staff supporting candidates using online/e-learning programmes where these include Functional Skills assessment preparation.

What are the invigilation rules for Functional Skills English assessments?

A Functional Skills Mathematics tutor may invigilate a Functional Skills English assessment.

Staff who teach GCSE English Language, but not Functional Skills English may invigilate.

Staff who teach ESOL, but do not teach Functional Skills English may invigilate.

An employer may invigilate a Functional Skills English assessment.

A Functional Skills English tutor **must not** invigilate a Functional Skills English assessment.

A Functional Skills English and Mathematics tutor **must not** invigilate a Functional Skills English assessment.

What are the invigilation rules for Functional Skills Mathematics assessments?

A Functional Skills English tutor may invigilate a Functional Skills Mathematics assessment.

Staff who teach GCSE Mathematics, but not Functional Skills Mathematics may invigilate.

An employer may invigilate a Functional Skills Mathematics assessment.

A Functional Skills Mathematics tutor **must not** invigilate a Functional Skills Mathematics assessment.

A Functional Skills English and Mathematics tutor **must not** invigilate a Functional Skills Mathematics assessment.

3.5 A centre **must** ensure that it has suitable invigilators available for all Level 1 and Level 2 Functional Skills assessments.

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

- restrictions within the centre on the grounds of security or safeguarding; **or**
- the remote location of the candidate's workplace/assessment location; **or**
- as part of a reasonable adjustment for an individual candidate.

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

3.6 Invigilators **must** give their whole attention to the proper conduct of the assessment. Invigilators **must not** perform any additional task, e.g. marking, in the assessment room.

3.7 Sufficient invigilators **must** be appointed to ensure that the assessment is conducted in accordance with the following requirements:

- at least one invigilator **must** be present for every 30 candidates;
- invigilators may be changed during the assessment, provided that the number present in the assessment room does not fall below the prescribed number;
- when only one invigilator is present, he/she **must** be able to summon assistance easily, without leaving the room and without disturbing the candidates;
- an invigilator **must** be able to observe every candidate in the room at all times.

3.8 The following documents **must** be available to every invigilator in the assessment room:

- *JCQ Instructions for conducting Level 1 and Level 2 Functional Skills assessments;*
- *JCQ Instructions for conducting examinations;*
- any awarding body subject-specific documentation.

3.9 The current JCQ *Warning to Candidates* and *Unauthorised items* posters **must** be displayed outside the assessment room.

3.10 Display materials (e.g. diagrams, wall charts) that might assist candidates in answering questions **must** be removed, unless the question paper rubric states that candidates are allowed to use reference materials. Particular care **must** be taken with those assessments which are held in computer rooms/suites, laboratories or libraries.

3.11 Possession of unauthorised items is an infringement of the regulations and could result in disqualification from the assessment. Unauthorised materials, in particular mobile phones, whether or not switched on or within reach, **must not** be in candidates' possession.

3.12 An invigilator **must not**:

- re-phrase a question for a candidate;
- explain any subject-specific or technical terms to a candidate;
- give any indication of the time elapsed or remaining where a question paper consists of distinct sections.

4 Seating plans

4.1 A seating plan is required for every assessment even if there is just one candidate present. The seating plan **must** clearly show how candidates were seated during the assessment and provide an accurate record of how the assessment room was set up.

This is to ensure:

- the assessment is being conducted as per the published regulations;
- invigilation is not intrusive;
- the candidate has appropriate space to complete the assessment.

4.2 Centres **must** keep signed records of the seating plan and invigilation arrangements for each assessment session for six months after the date of the assessment. Awarding bodies may request these records at any time during that six-month period for the purpose of enquiries about results, appeals or investigations.

5 Identification of candidates

5.1 Centres **must** check the identity of candidates at enrolment and record the item(s) of identification seen.

It is the centre's responsibility to check candidate identity and confirm that candidates have taken the correct assessments. To ensure this:

- **for written examinations**, invigilators **must** check the identity of each candidate and record the evidence of candidate ID.
- **for on-screen assessments**, the invigilator **must** check the identity of each candidate to ensure that the correct ID and password/keycode are issued.

5.2 A candidate who is not known to the centre **must** present photographic documentary evidence that they are the same person who was entered for the assessment. This check **must** take place at each assessment session and before the assessment is taken.

Appropriate photographic evidence would include, for example, a valid passport, a national ID card, or a photo card driving licence.

5.3 If a candidate sits an assessment in another candidate's name (whether it is intentional or not), this may constitute malpractice and **must** be reported to the awarding body immediately.

6 The people present

- 6.1** Only candidates taking the assessment(s) and persons authorised by the head of centre are allowed in the assessment room.

An awarding body reserves the right to visit centres at any time to inspect the arrangements made for the security of confidential assessment material and the conducting of the assessments.

7 Supervision of candidates

- 7.1 Invigilators **must** supervise the candidates throughout the whole time the assessment is in progress and give their complete attention to this requirement at all times.

8 Candidates with disabilities and learning difficulties

- 8.1** Centres should refer to the relevant awarding body's website for information about the available access arrangements/reasonable adjustments for the assessment and the processing arrangements.

9 Malpractice

9.1 Functional Skills assessments rely on the integrity of the candidates. Where malpractice occurs, or is thought to have occurred, this will be investigated by the awarding body. This may lead to candidates having their result withheld.

9.2 The head of centre **must** ensure that all cases of suspected or actual candidate malpractice or any infringement of the regulations are reported to the awarding body without delay. Further guidance will then be provided by the awarding body's Malpractice Team.

Centres should provide as much information as possible, including:

- full details of the incident;
- names and roles of individuals involved;
- signed statements.

Specific content of a live assessment **must not** be provided to the awarding body.

Any infringement of the regulations may lead to the disqualification of the candidate. The decision to disqualify a candidate rests solely with the awarding body.

9.3 The invigilator should remove and retain any unauthorised material discovered in the candidate's possession and make a note of the circumstances.

9.4 The head of centre may remove a candidate from the assessment room, however, this should only occur where considered essential or where the continued presence of the candidate would cause disruption to others in the room.

Paper based on-demand Functional Skills English and Mathematics assessments

- 10 Keeping paper based on-demand Functional Skills English and Mathematics assessments secure
- 11 Arranging the assessment room
- 12 Before the assessment
- 13 Specific instructions for Functional Skills Mathematics assessments
- 14 During the assessment
- 15 After the assessment
- 16 Candidates' scripts
- 17 Unused question papers
- 18 Security of content
- 19 Emergencies

10 Keeping paper based on-demand Functional Skills English and Mathematics assessments secure

10.1 These assessments are offered on-demand during any time of the year. The standard instructions for conducting Functional Skills assessments apply.

10.2 The centre **must**:

- on receipt of question paper packets, check the contents of each packet by reading the title through the window. The awarding body **must** be contacted **immediately** if a packet has been damaged in transit, the seal has been broken or incorrect question papers have been delivered;
- store all question papers securely in line with the instructions in **paragraphs 10.4-10.8**;
- store securely the question papers **and** the source documents/text booklets (which may be an insert) for the Level 2 Functional Skills English Reading assessment.

10.3 The centre **must not**:

- photocopy question papers unless authorised by the awarding body;
- publish information relating to the content of the assessments unless authorised by the awarding body;
- open question paper packets until the time of the assessment. Question paper packets **must only** be opened in front of the candidates.

Secure storage facilities

10.4 Centres running paper based on-demand assessments **must** have secure storage facilities as outlined below. Centre approval may be withdrawn if the secure storage facilities are found to be unacceptable.

10.5 The examinations officer or quality nominee **must** ensure that the assessment materials are locked away in a place of high security. The number of key holders **must** be restricted to two to six people.

Only the examinations officer or key holders, as authorised by the head of centre, should have access to the live assessment materials prior to the scheduled assessment time.

10.6 The examinations officer **must**:

- ensure that envelopes and boxes containing confidential materials are signed for;
- keep a log, ideally at reception, recording the delivery of confidential materials showing each question paper delivery and the number of boxes received;
- keep a record of when and who accesses the question papers while in secure storage;
- keep question papers safe and secure prior to the assessment dates;
- make question papers available to invigilators and candidates at the appropriate time;
- be able to demonstrate that the appropriate security systems are in place to prevent unauthorised access to the assessment materials;
- make appropriate arrangements to ensure that confidential assessment materials are delivered only to those authorised to receive them;
- maintain the confidentiality of candidate details and candidate responses.

10.7 Centres **must not** store any live question papers on computers. All question papers are considered 'live' until the awarding body releases them as practice papers. Question papers **must** be stored in a safe or a cabinet in a securely locked room conforming to the secure storage requirements below.

Requirement	Recommendation
Strong safe or security cabinet or metal cabinet with locking bar. 2 to 6 key holders only.	Bolted to wall or floor.
Secure room in a fixed building, i.e. not a Portakabin or similar. Walls, ceiling and floor of strong, solid construction.	Preferably on an upper floor with no windows.
Solid door. Strong, secure hinges. Security lock, e.g. a minimum of a 5-lever mortice lock or coded keypad lock or electronic security lock. 2 to 6 key holders only. There must be at least two keys rather than one key accessed by two or more members of staff. Centres must not keep a spare set of keys anywhere where they can be accessed by members of staff who are not involved in exam administration. This includes in a cabinet or safe. Keys must either be kept on the key holder's person or in a coded key safe (securely attached to the wall) which is only accessible to the designated key holders	

Please see section 3 of the JCQ document *Instructions for conducting examinations* for the full list of the requirements and conditions for storing confidential awarding body material.

10.8 The awarding body **must** be informed immediately if the security of the question papers has been put at risk by fire, theft, loss, damage, unauthorised disclosure or any other circumstances.

Transporting question papers to offsite assessment venues

10.9 Question papers are despatched to the approved centre through which the original entries were made. The centre **must** have storage facilities that meet the secure storage requirements.

10.10 Question paper packets **must not** be opened prior to the assessment window set by the awarding body.

10.11 Centres with multiple sites or examination venues are allowed to split question paper packets for transportation to alternative locations

10.12 If a centre wishes to conduct an assessment at a location other than the approved centre address to which question papers are sent, the following requirements **must** be met:

- question paper packets are transported on the day of the assessment;
- the re-arranged packages are despatched by trackable secure courier, or by centre staff, to the assessment venue for collection by the invigilator;
- question paper packets **must** be transported in a lockable case which **must not** be left unattended at any time. It is the responsibility of the invigilator to ensure that the question paper packets in their possession are kept securely until the time of the assessment;
- question paper packets **must** be signed for at the alternative assessment location and stored according to the secure storage requirements;
- the centre **must** keep a transport log which records the following information:
 - the names of all people handling the question papers;
 - the time when question papers were removed from secure storage at each location;
 - the means of transportation and the security measures taken;
 - the time of arrival at each location;
 - the secure storage arrangements at each approved location;
 - the tracking number log when a postal delivery method has been used;
- where the awarding body allows centres to reschedule the assessment within a window, the question papers **must** remain in secure storage at the centre until the start of the assessment window;
- in exceptional circumstances, question paper packets may be despatched before the day of the assessment by either:
 - post, using recorded delivery; **or**
 - using a secure courier (where the package is signed for);

- question paper packets can only be stored overnight if the site has a secure storage facility which meets the requirements of this document. If the site does not have a secure storage facility, the assessment can still be conducted at this address, but the question paper packets will need to be securely transported to and from the venue on the day of the assessment. Assessment materials **must not** be stored away from the centre for more than one day.

Conditions for splitting question paper packets for use at different centre sites

10.13 Centres with multiple sites may split and reseal question paper packets within the assessment window set by the awarding body. The following requirements **must** be met:

- question paper packets should only be opened if absolutely necessary;
- question paper packets **must** be opened in a secure environment, i.e. a private room or an office with restricted access;
- only appropriate centre administrative staff may have access to the question papers whilst they are being re-packaged;
- once the question papers are appropriately re-packaged for each assessment site, they **must** be re-sealed and stored according to the secure storage requirements;
- newly sealed envelopes **must not** be re-opened until the time of the scheduled assessment.

Conditions for splitting question paper packets for use in multiple rooms within a centre

10.14 Centres with multiple assessment rooms on-site are allowed to split question paper packets to facilitate the setting up of these rooms. Question paper packets **must only** be opened where absolutely necessary. The following requirements **must** be met:

- question paper packets **must** be split and resealed no earlier than two working days in advance of the assessment date;
- only appropriate centre administrative staff **must** have access to the question papers whilst they are being re-packaged;
- question paper packets **must** be opened in a secure environment, i.e. a private room or an office with restricted access;
- once question papers are appropriately re-packaged for each assessment room, they **must** be re-sealed and stored according to the secure storage requirements. The newly sealed envelopes **must not** be re-opened until the time of the scheduled assessment;
- a log is kept which records the following information:
 - names of all people handling the papers;
 - the time when the question papers were removed from secure storage;
 - number of split packets created;
 - the time when the question papers were returned to the secure storage facility.

11 Arranging the assessment room

- 11.1** The seating arrangements **must** prevent candidates from overlooking (intentionally or otherwise) the work of others.
- 11.2** The minimum distance in all directions from centre to centre of candidates' chairs **must** be 1.25 metres.
- 11.3** A wall clock **must** be clearly visible to all candidates.
- 11.4** A board **must** be clearly visible to all candidates showing the centre number and the start and finish times for the assessment.
- 11.5** The room **must** be:
- quiet;
 - well lit;
 - well ventilated; **and**
 - at a reasonable temperature.
- Any sunlight glare **must** be blocked out.

12 Before the assessment

- 12.1** The JCQ *Warning to Candidates* and *Unauthorised items* posters **must** be on display outside the assessment room.
- 12.2** Invigilators **must** check the front of the question paper to know what materials candidates may use in the assessment.
- 12.3** Candidates **must only** take into the assessment room the pens, pencils, erasers and any other equipment they need for the assessment. Any pencil cases must be transparent.
- 12.4** If possible, provision should be made for candidates to store their personal belongings securely outside the assessment room. If this is not possible, then candidates' personal belongings **must** be out of reach within the assessment room.
- 12.5** Candidates **must** be seated ten minutes before the start of the assessment and in accordance with the prescribed seating arrangements.
- 12.6** Candidates **must** be informed that they are now subject to the regulations of the assessment. An invigilator **must** read out the relevant notices and warnings.
- 12.7** Candidates **must** be warned that any unauthorised material such as revision notes, mobile phones or electronic dictionaries must be handed in. This **must** also include any food or drinks which are only allowed at the discretion of the head of centre.
- 12.8** Candidates **must** be reminded that they **must not** communicate in any way with, seek assistance from, or give assistance to, another candidate whilst they are in the assessment room.
- 12.9** The question paper packet **must** be opened in the assessment room.
- 12.10** Invigilators **must** ensure candidates have been given the correct question paper. An awarding body may not accept a candidate's script completed for an incorrect assessment.
- 12.11** Candidates **must** be told to fill in the details on the front of their answer booklet and read any instructions.
- 12.12** Invigilators **must** check that candidates have all the necessary material to enable them to complete the assessment.
- 12.13** For the Level 2 English Reading assessment, candidates **must** be reminded not to write their responses in the source document/text booklet. Only answers written in the question paper booklet will be marked by the awarding body.

12.14 Candidates **must** be told when they may begin the assessment and how much time they have to complete it.

13 Specific instructions for Functional Skills Mathematics assessments

13.1 The Mathematics papers contain a non-calculator section and a calculator section printed in two separate answer booklets.

The centre **must**:

- distribute only the non-calculator section first;
- ensure the non-calculator section is completed first;
- ensure that candidates **do not** have access to a calculator whilst completing the non-calculator section;
- allow all candidates the full time to complete the non-calculator section;
- collect the non-calculator answer booklets in when all candidates have completed the non-calculator section;
- distribute calculators and the calculator answer booklets only once all non-calculator answer booklets have been collected in.

14 During the assessment

- 14.1** The invigilator **must not** offer any advice or comment on the work of a candidate.
- 14.2** When a candidate arrives after the start of the assessment, he/she should be allowed the full time depending on the centre's organisational arrangements and provided adequate invigilation arrangements are in place.
- 14.3** Once the assessment has started, candidates **must not** ask questions about the assessment.
- 14.4** Invigilators **must not** talk to or distract candidates during the assessment.
- 14.5** Invigilators **must** be vigilant and supervise candidates at all times to prevent cheating.
- 14.6** Requests for help from candidates in relation to the assessment **must not** be dealt with by invigilators.
- 14.7** If an invigilator discovers cheating, any unauthorised material should be taken away, with the candidate continuing the assessment.
The invigilator must record this as malpractice on the invigilation report which **must** be submitted to the awarding body.
- 14.8** A responsible adult **must** be available to accompany any candidates who need to leave the room temporarily. The candidate **must** be supervised at all times to ensure he/she cannot access restricted material. The candidates remaining in the room **must** continue to be invigilated.
- 14.9** Candidates **must** be reminded verbally when there are only ten minutes of the assessment remaining.
- 14.10** A candidate who has finished the assessment and is allowed to leave the room early, **must** hand in their answer booklet before they leave the room. The candidate **must not** be allowed back into the room.
- 14.11** Candidates **must** be told to stop writing at the end of the assessment.

15 After the assessment

- 15.1 Scripts and question papers **must** be collected before candidates leave the examination room, ensuring that all details on the front page of all scripts have been completed.
- 15.2 Scripts **must** be arranged in the order as candidates appear on the attendance register.
- 15.3 The invigilation report **must** be completed and signed, with any candidate malpractice, disturbances or late arrivals recorded.

16 Candidate's scripts

- 16.1** Candidates' scripts **must** be despatched to the awarding body or examiner using the label(s) provided by the awarding body.
- 16.2** For the Level 2 English Reading assessment, the source documents/text booklets **do not** need to be despatched but **must** be collected in, accounted for and securely destroyed.
- 16.3** If it is not possible to return candidates' scripts immediately, they **must** be stored in the centre's secure storage facility, in the script envelope provided by the awarding body and be despatched for marking within the awarding body's standard timescales.

17 After the assessment

- 17.1** For information on how to handle unused question papers please refer to the relevant awarding body's guidance.

18 Security of content

- 18.1** The content of a question paper **must not** be sent as an email. This would be considered a breach of security. Any queries about the content of a question paper should be raised with the relevant awarding body.

19 Emergencies

19.1 In an emergency, such as a fire alarm or a bomb alert, the invigilator **must** take the following action:

- stop the candidates from writing;
- collect the attendance register (in order to ensure all candidates are present) and evacuate the room in line with the instructions given by the appropriate authority;
- advise candidates to leave all question papers and scripts in the room. Candidates **must** be advised to close their answer booklet;
- ensure the candidates leave the room in silence;
- ensure candidates are supervised as closely as possible while they are out of the room so that there is no discussion about the assessment;
- make a note of the time of the interruption and how long it lasted;
- allow the candidates the remainder of the working time set for the assessment once it resumes;
- if there are only a few candidates, consider the possibility of taking the candidates (with question papers and scripts) to another place to finish the assessment.

19.2 A full report of the incident **must** be produced and retained on file and made available to an awarding body if required.

19.3 Any breach of question paper security or malpractice **must** be reported to the awarding body **immediately**.

19.4 As each incident will be different, advice **must** be sought from the relevant awarding body as soon as it is safe to do so. For example, where the centre is concerned about the security of the assessment or where candidates are unable to return to the building to complete the assessment.

19.5 Where a candidate is present for an on-screen assessment, but disadvantaged, the relevant awarding body's special consideration policy should be referred to.

On-demand, on-screen Functional Skills English and Mathematics assessments

- 20 Invigilation
- 21 Security of assessment materials
- 22 Starting times for assessments
- 23 Resources for assessments
- 24 General environment/layout of the assessment room
- 25 Accommodation for on-screen assessments
- 26 Hardware and software
- 27 Starting the assessment
- 28 Specific instructions for on-demand, on-screen
Mathematics assessments
- 29 Technical problems
- 30 Finishing the assessment
- 31 Leaving the assessment room

20 Invigilation

- 20.1** Invigilators **must** be familiar with the on-screen assessment software.
- 20.2** It is essential that an IT technician is available at the start of the assessment. The IT technician **does not** need to be in the room thereafter but **must** be in the vicinity of the assessment room and **must** be contactable by phone to deal with any technical difficulties that may arise.
- 20.3** An IT technician or a dedicated administrator **must**:
- be familiar with the relevant awarding body's software, for example the awarding body's 'User Guide' and the awarding body's procedures for logging on, uploading candidate assessments (where required) and exiting the assessments;
 - set up the assessment room before candidates enter the room by switching on computers and opening up the assessment software.
- 20.4** It is a condition of accreditation to offer on-screen assessments that suitable technical support is provided.
- 20.5** Invigilators **must not** allow a candidate to login under the name of another candidate. If an incorrect candidate has been entered, a late entry can be added to the assessment session, or the candidate will have to complete the assessment at another time. Any candidate entered under an incorrect name will have their results voided. This will be considered malpractice.

21 Security of assessment materials

21.1 Testing software **must** be securely managed at all times so that no unauthorised person has access. The centre **must** be able to demonstrate that appropriate security systems and processes are in place to prevent unauthorised access to the assessments on their computer system.

The security and confidentiality of the assessments **must** be maintained at all times.

21.2 The centre **must** ensure that:

- only administrators have access to keycodes/passwords which allow access to the on-screen assessments;
- computers are set up to prevent access to any software which is prohibited whilst the assessment is in progress;
- only candidates who have been entered to take the assessment are permitted to do so.

21.3 The centre **must** have the available expertise to:

- administer and access the assessments using secure uploading and downloading;
- deal with any issues or technical difficulties that may arise during an assessment.

21.4 Assessment content **must** be protected from unauthorised access at all times, i.e. before, during and after the assessment session.

21.5 The awarding body **must** be informed immediately if the security of the assessment material is put at risk or has been breached (e.g. by fire, theft, damage or through malpractice).

22 Starting times for assessments

22.1 When more than one candidate is taking an assessment in the same room, the assessment **must** be scheduled with the same starting time to cause the least disruption to candidates.

The centre **must** inform each candidate of the starting time of the assessment session.

23 Resources for assessments

23.1 Candidates **must not** have access to any materials, including books and unauthorised software, whilst they are sitting the assessment. Candidates are allowed dictionaries in Reading and Mathematics assessments.

23.2 The invigilator may have rough paper and pens available to help candidates plan their answers. Candidates **must** request this at the start of the assessment.

Invigilators **must** collect all rough paper at the end of the assessment and ensure it is shredded or securely destroyed.

23.3 Candidates **must** be warned that the possession of any unauthorised material will be considered an infringement of the regulations in the same way as the possession of any other unauthorised items.

If unauthorised items are present in the assessment room, whether or not candidates intend to use them, this may constitute malpractice. The candidate(s) could be subject to penalties as detailed in the JCQ document *Suspected Malpractice: Policies and Procedures*:

<http://www.jcq.org.uk/exams-office/malpractice>

24 General environment/layout of the assessment room

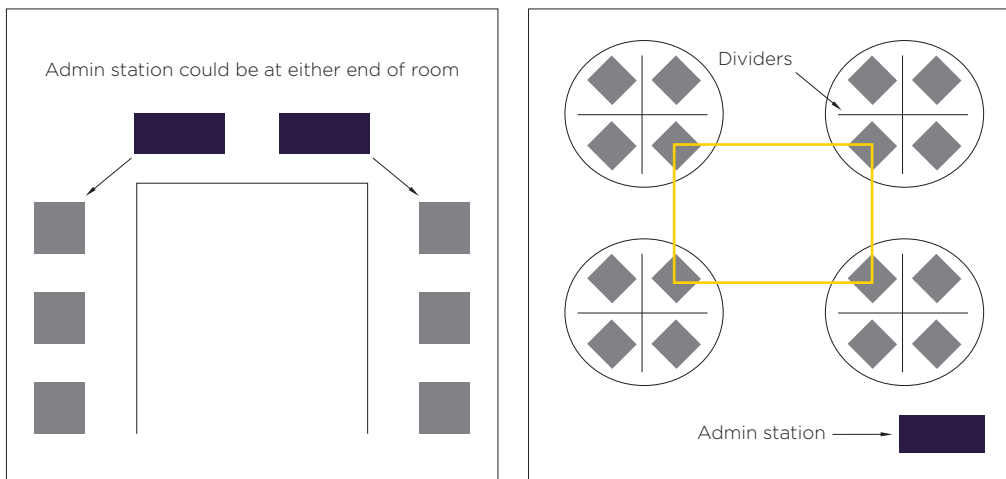
24.1 To ensure an appropriate assessment environment, the centre **must** ensure that:

- the accommodation is suitable for use as an assessment room;
- the area is quiet and free from external disturbances;
- attention has been paid to matters such as heating, lighting and ventilation;
- the workspace provided for the candidate allows access to equipment;
- the arrangement of the workstations and the position of the invigilator's desk facilitates detection of any unauthorised activity by candidates, e.g. communication with others or the use of unauthorised material.

24.2 It is advised that the workstations are isolated by at least a space of 1.25m measured from the nearest outer edge of one screen to the next or separated by a partition. The diagrams below are examples of appropriate layouts.

Computer suite set in test centres

People in areas could do different tests or workstations might not be used.



25 Accommodation for on-screen assessments

25.1 The way in which the IT technician has installed the system will determine how many candidates can sit an assessment at one time. Spare PCs should always be available.

25.2 The assessment room **must** be set up with all PCs logged on and the assessment software open **before** candidates enter the room.

25.3 Each workstation **must** be tested on completion of installation of the assessment software.

25.4 The assessment time will be determined by the clock on the candidate's PC. However, a reliable clock **must** be visible to each candidate in the assessment room.

25.5 Another assessment may be held in the assessment room at the same time, provided this does not cause any disturbance. The centre **must** ensure that candidates are not interrupted whilst taking an assessment.

Invigilators **must** pay particular attention to minimising disturbance through candidates entering or leaving the assessment room whilst other candidates are still completing their assessment.

26 Hardware and software

26.1 There **must** be adequate back-up provision in case of equipment failure. Provision can include:

- spare workstations (of the required specification);
- spares of easily replaced items (e.g. mouse, screen).

26.2 Hardware **must** be maintained to minimise the likelihood of failure during an assessment.

26.3 Up-to-date virus protection measures **must** be in place.

27 Starting the assessment

27.1 In addition to the general instructions for invigilators, (**see section 3**) the invigilator(s) **must**:

- ensure that candidates start the assessment in accordance with the specific instructions provided for electronic assessment;
- draw candidates' attention to the instructions on the screen at the beginning of the assessment and ask them to check that they have been provided with the correct assessment for the correct subject and level;
- inform candidates that they must not use the Exit/Finish/Quit button without first asking an invigilator;
- inform candidates to enter the required information on their screen when prompted to do so at the start of the assessment;
- inform candidates about the instruction screens that will appear prior to the start of the assessment;
- inform candidates that any scrap paper or pens they use **must** be returned to the invigilator at the end of the assessment and **must not** be taken out of the room.

28 Specific instructions for on-demand, on-screen Mathematics assessments

28.1 The new specification papers contain a non-calculator section and a calculator section.

28.2 The non-calculator section **must** be completed first. Invigilators **must** ensure that candidates **do not** have access to a calculator while completing the non-calculator section.

28.3 Candidates are permitted to move on to the calculator section when they are ready to do so, but will be unable to return to the non-calculator section once they have exited it.

28.4 Candidates should be encouraged to use the on-screen calculator, where available, within the on-screen assessment. This avoids the possibility of transcription errors and ensures all workings are shown to fully access the available marks. However, candidates may use their own calculators if they wish.

29 Technical problems

- 29.1** If the technical issue cannot be immediately resolved, then the on-screen assessment should be abandoned. A further set of on-screen assessments must be scheduled when the fault has been rectified and the system tested.
- 29.2** If there are difficulties with individual PCs or the whole centre system during the assessment, and if the failure cannot be rectified within 30 minutes, the on-screen assessment should be abandoned. A further set of on-screen assessments should be scheduled when the fault has been rectified and the system tested.
- 29.3** If the system is not up and running successfully at the scheduled start time, the assessment should be delayed by no more than 15 minutes for the problem to be resolved. After this time, the on-screen assessment should be rescheduled when the fault has been rectified and the system tested.

30 Finishing the assessment

- 30.1** The assessment will close down either when the allocated time has elapsed, or when the candidate completes the assessment earlier than the allocated time.
- 30.2** The centre **must** keep all evidence of attendance sheets that are produced at the end of the assessment for every candidate present. These are to be used as proof of attendance and **must** be stored in the centre for two months after the assessment. These may be requested at any time during this period by the awarding body.
- 30.3** Any scrap paper used by candidates during the assessment **must** be collected by the invigilator and securely destroyed. Candidates **must not** take any notes out of the room at the end of the assessment.
- 30.4** All assessments **must** be uploaded to the awarding body. If an assessment is not uploaded, it will not be marked, and the candidate will not receive a result.

31 Leaving the assessment room

- 31.1** Candidates who have completed the assessment may leave the room at the discretion of the invigilator, subject to ensuring that no disturbance is caused to other candidates. The invigilator **must** turn off the computer screens to ensure other candidates cannot see them. The candidates **must not** be allowed back into the room.

Appendices

- Appendix 1** Warning to Candidates poster
- Appendix 2** Unauthorised items poster
- Appendix 3** Checklist for invigilators (paper based assessments)
- Appendix 4** Checklist for invigilators (on-screen assessments)



AQA	City & Guilds	CCEA	OCR	Pearson	WJEC
-----	---------------	------	-----	---------	------

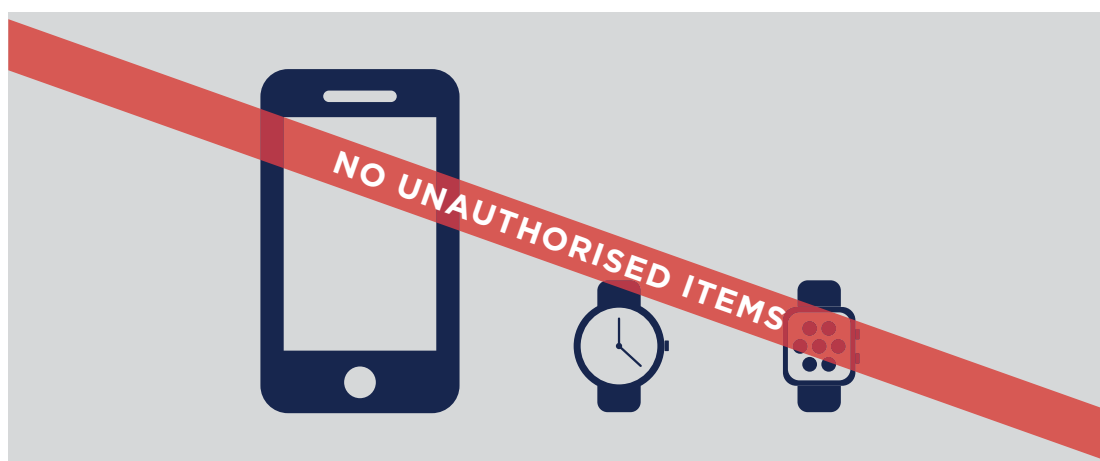
Warning to Candidates

1. You **must** be on time for all your examinations.
2. **Possession of a mobile phone** or other unauthorised material **is not allowed** even if you do not intend to use it. You will be subject to penalty and possible disqualification from the exam/qualification.
3. You **must not** talk to, attempt to communicate with or disturb other candidates once you have entered the examination room.
4. You **must** follow the instructions of the invigilator.
5. You **must not** sit an examination in the name of another candidate.
6. You **must not** become involved in any unfair or dishonest practice in any part of the examination.
7. If you are confused about anything, only speak to an invigilator.

The *Warning to Candidates* must be displayed in a prominent place outside each examination room. This may be a hard copy A3 paper version or an image of the poster projected onto a wall or screen for all candidates to see.

NO MOBILE PHONES NO WATCHES

NO POTENTIAL TECHNOLOGICAL/WEB
ENABLED SOURCES OF INFORMATION



Possession of unauthorised items, such as a mobile phone
or any watch, is a serious offence and could result in

DISQUALIFICATION

from your examination and your overall qualification.

This poster must be displayed in a prominent place outside each examination room.

Appendix 3 Checklist for invigilators (paper based assessments)

A – Arranging the assessment room

1. Check that any charts, diagrams etc. have been cleared from the walls.
2. Check that desks are 1.25m apart and each candidate has a separate desk of sufficient size to accommodate the question paper.
3. Check that you have the following on display in the assessment room:
 - a clock that all candidates can see clearly;
 - a board or display showing the:
 - centre number;
 - subject title;
 - paper number;
 - actual start and finish time of the assessment.
4. Check that you have the following on display outside the assessment room:
 - JCQ Warning to Candidates poster;
 - JCQ Unauthorised items poster.
5. Check that you have for the main assessment room:
 - a copy of the current JCQ document *Instructions for conducting examinations*;
 - a copy of the current JCQ document *Instructions for conducting Functional Skills assessments*;
 - any subject-specific instructions and/or stationery lists issued by the awarding body;
 - a seating plan.
6. Check that heating, lighting, ventilation and the level of outside noise is acceptable.
7. Check that emergency exits and fire routes are unobstructed.

B – identifying candidates

1. Make sure you know the identity of every candidate in the assessment room.
2. Check the identification documents provided by candidates who are not known to the centre. Make sure they are the same people who were entered or registered for the assessment.

C – Before the assessment

1. Check that there are sufficient invigilators for the number of candidates taking the assessment.
2. Check the front of the question paper regarding authorised materials, particularly calculators or dictionaries (see F below).
3. Brief candidates about the regulations for taking the assessment; reading out instructions and warnings to candidates.

4. Warn candidates that they **must** give you any unauthorised items, including potential technological or web-enabled sources of information, such as:
 - AirPods;
 - earphones/earbuds;
 - iPods;
 - mobile phones;
 - watches.
5. Tell the candidates to:
 - fill in the details on the front of their answer booklet and any supplementary sheets, e.g. candidate name, centre number, registration number
 - read the instructions on the front of the question paper.
6. Tell the candidates about any erratum notices.
7. Remind candidates:
 - to write in black ink;
 - not to use highlighters or gel pens in their answers.
8. Remind candidates to write in the designated sections of the answer booklet.
9. Tell candidates when they may begin the assessment and how much time they have.

D – During the assessment

1. Accurately complete the attendance register.
2. Deal with any late arriving candidates (see **section 21** of the JCQ document *Instructions for conducting examinations*).
3. Supervise the candidates at all times to prevent cheating and distractions.
4. **Do not** give any information to candidates about:
 - suspected mistakes in the question paper unless the awarding body has issued an erratum notice or given permission;
 - any question on the paper or the requirements for answering particular questions.
5. If a candidate wishes to leave the examination room, see **section 23** of the JCQ document *Instructions for conducting examinations*.

Make sure that an appropriate member of staff is available to accompany any candidate who needs to leave the room temporarily.
6. Make sure that a question paper is not removed from the room during the assessment.
7. In an emergency, follow the procedures in **section 19** of the JCQ document *Instructions for conducting Functional Skills assessments* and any centre specific instructions.
8. Remind candidates when there are only ten minutes of the assessment remaining.
9. Tell candidates to stop writing at the end of the assessment.

E – After the assessment

1. Check and sign the attendance register.
2. Tell candidates to check that they have:
 - written all the necessary information on their answer booklet including any supplementary sheets;
 - crossed out rough work or unwanted answers;
 - fastened any supplementary sheets, as instructed on the question paper/answer booklet.
3. Collect all scripts and all unused stationery before candidates leave the room.
4. Arrange scripts in the order candidates appear on the attendance register.
5. Make sure that scripts are stored securely before they are despatched to the awarding body or the examiner.

F – Use of calculators and dictionaries

1. Candidates are allowed to use calculators, unless the question paper says otherwise.
2. Candidates are allowed to use dictionaries in all Functional Skills assessments except English Writing assessments.
3. Candidates are allowed to use bilingual dictionaries in all Functional Skills assessments except English Writing assessments.

G – Access arrangements

1. Check in advance with the exams officer which candidates, if any, have been granted access arrangements.

Appendix 4 Checklist for invigilators (on-screen assessments)

A – Arranging the assessment room

1. Check that any charts, diagrams etc. have been cleared from the walls.
2. Check that desks are 1.25m apart and each candidate has a separate desk of sufficient size.
3. Check that you have the following on display in the assessment room:
 - a clock that all candidates can see clearly;
 - a board or display showing the:
 - centre number;
 - start and finish time of the assessment.
4. Check that you have the following on display outside the assessment room:
 - JCQ Warning to Candidates poster;
 - JCQ Unauthorised items poster.
5. Check that you have:
 - a copy of the current JCQ document *Instructions for conducting examinations*;
 - a copy of the current JCQ document *Instructions for conducting Functional Skills assessments*;
 - any subject-specific instructions and/or stationery lists issued by the awarding body;
 - a seating plan of the assessment room.
6. Check that sufficient workstations are available, including at least one replacement computer and printers where required.
7. Where candidates are required to print their responses ensure sufficient stocks of toner, ink and paper.
8. Check that heating, lighting, ventilation and the level of outside noise is acceptable.
9. Check that emergency exits and fire routes are unobstructed.

B – identifying candidates

1. Check the identity of each candidate.
2. Check the correct ID and password are issued to each candidate sitting the assessment.

Oversee the input of the ID and password for each candidate.

Check that the name on the computer screen matches the name of the candidate.

C – Before the assessment

1. Check that there are sufficient invigilators for the number of candidates taking the assessment.
2. Ensure that candidates are seated comfortably, in their designated seat, with access to any assistive technology (if required) where approved by the awarding body.
3. Brief candidates about the regulations for taking the assessment, reading out instructions and warnings to candidates.

4. Warn candidates that they must give you any unauthorised items, including technological or web-enabled sources of information, such as:
 - AirPods;
 - earphones/earbuds;
 - iPods;
 - mobile phones;
 - watches.
5. Check in advance with the exams officer which candidates, if any, have been granted access arrangements.
6. Tell the candidates to read the instructions at the start of the on-screen assessment.
7. Tell the candidates about any erratum notices.
8. Make sure that candidates are familiar with the instructions, procedures and regulations for the on-screen assessment, particularly on how to navigate and respond on-screen.
9. Remind candidates when they may begin and how the assessment will end.
10. Check that candidates know how to request technical assistance.
11. Check that all candidates have logged on successfully or have been logged on by the centre.
12. Ensure that technical support to deal with malfunctioning equipment or software is available throughout the on-screen assessment.

D – During the assessment

1. Accurately complete the attendance register whether supplied in hard copy paper format or online.
2. Deal with any late arriving candidates (see **section 21** of the JCQ document *Instructions for conducting examinations*).
3. Supervise the candidates at all times, including any planned or unplanned breaks, to prevent cheating and distractions.
4. **Do not** give any information to candidates about a specific question or the requirements for answering particular questions.
5. Make sure that you are aware of the requirements for supervising candidates.
6. Make sure that an appropriate member of staff is available to accompany any candidate who needs to leave the room temporarily.
7. In an emergency follow the procedures in **section 19** of the JCQ document *Instructions for conducting Functional Skills* assessments and any centre specific instructions.
8. Record and report to the awarding body any complaints from candidates relating to system delays or any other IT irregularities.
9. If not immediately resolved, record and report to the awarding body all emergencies and/or technical failures.

E – After the examination

1. Check and sign the attendance register where supplied in hard copy paper format.
2. Supervise the conclusion of the assessment, ensuring that candidates' responses are saved and secure from unauthorised access.
3. Ensure that the software is closed as necessary.

4. Check that any necessary back-ups have been made and stored securely.
5. Collect copies of candidates' work, additional printouts and question papers before candidates leave the room.
6. Remove candidates' user areas at the end of the assessment window or after each session if feasible.
7. If candidates are required to print work off outside the time allowed for the assessment, ensure candidates are supervised at all times.

F - Use of calculators and dictionaries

1. Candidates are allowed to use calculators, unless the on-screen assessment says otherwise. It is recommended that candidates use the on-screen calculator where provided within the assessment software.
2. Candidates are allowed to use dictionaries in Functional Skills assessments except English Writing assessments.
3. Candidates are allowed to use bilingual dictionaries in all Functional Skills assessments except English Writing assessments.