



FDQ Guide to Invigilation



Contents

| | |
|---|----|
| Document history | 3 |
| 1. Purpose of this Guide | 5 |
| 1.1 Scope | 5 |
| 1.2 Definitions..... | 6 |
| 1.3 Malpractice and maladministration | 7 |
| 1.4 Who can invigilate a FDQ exam?..... | 7 |
| End-point Assessment exams..... | 8 |
| Invigilator independence..... | 8 |
| 1.5 Centre responsibilities for the assessment environment..... | 8 |
| 1.6 Centre responsibilities for remote assessment | 9 |
| 1.7 Technical requirements for remote invigilation | 10 |
| 1.8 Learner technical equipment | 10 |
| 2. Responsibilities of invigilators | 11 |
| 2.1 Before the exam | 12 |
| 2.2 Starting the exam | 13 |
| 2.3 During the exam | 13 |
| 2.4 Ending the exam | 14 |
| 2.5 After the exam..... | 14 |
| 3. Centre records..... | 14 |
| 4. FDQ invigilation audits..... | 15 |
| Appendix 1 Checklist for invigilation in a centre..... | 16 |
| Appendix 2 Checklist for remote invigilation | 18 |

Questions or queries: If you have any questions or queries about FDQ's Guide to Invigilation, please do not hesitate to contact us, using the details below:

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Document history

The change log below summarises changes to the document from November 2020 onwards.

| Date | Version | Section | Change |
|------------|---------|------------------|---|
| 15/02/2021 | 3 | 2.1 | Additional bullet point regarding learner device camera and microphone being switched on at all times during remote invigilation. |
| 07/04/2021 | 4 | 1 | Removed reference to ERF and added regulatory requirements |
| | | 1.2 | Tabulated Definitions |
| | | 1.5 | Added <ul style="list-style-type: none"> examples of software note that all learners must be visible to the invigilator and EQAC at all times |
| | | 1.6 | New section |
| | | 1.7 | Added note on break out room function setting |
| | | 1.8 | Clarified use of one device per test |
| | | 1.8 | Revised to add successful equipment test requirement |
| | | 1.9 | Clarified permitted use of smart phones |
| | | 2.1 | Updated bullet list to <ul style="list-style-type: none"> clarify ID requirements add recently read JCQ guidelines state all learners must start the test at same time |
| | | Appendix 1 | Amended ID requirement |
| | | Appendix 2 | Amended ID requirement |
| 21/07/2022 | 5 | 1.4 | Updated link to JCQ information for centres |
| | | Appendices 1 & 2 | Updated link to JCQ information for candidates |

| Date | Version | Section | Change |
|------------|---------|------------|---|
| 30/10/2023 | 6 | All | Standardised terminology used. Use term exam rather than test. |
| | | 1 | Added requirement for centres to be familiar with JCQ and regulatory requirements for invigilation. |
| | | 1.5 | Added IfATE requirements for invigilators. |
| | | 1.6 | Added a new section on independence of invigilators to make it easier to find in this Guide. |
| | | 1.7 | Updated the assessment environment section. Includes list of equipment and materials not permitted in assessment location to align with and regulatory requirements and current best practice. Includes new guidance on permitting mobile phones for remote exams only. |
| | | 2 | New explanation of when one authorised mobile phone is permitted in a remote exam location. |
| | | 2.1 | Updated list to include equipment and materials not permitted in assessment location. |
| | | 2.5 | Added emergency and incident records to documents to be completed at end of exam. |
| | | 3 | Clarified instructions for dealing with emergencies and technical problems. |
| | | Appendix 2 | <ul style="list-style-type: none"> Removed requirement for all learners to have mobile phone on desk. Added check that any authorised mobile phone is placed behind the learner. |

1. Purpose of this Guide

This Guide is designed to explain FDQ's rules and requirements for invigilation and the processes centres must follow to make sure FDQ's exams are conducted fairly, safely and securely.

The Guide should be read in conjunction with FDQ's assessment policies available at: www.fdq.org.uk/fdqpolicies

Centres offering remote assessments should also read the FDQAssess Guide.

Centres must also be familiar with JCQ and regulatory requirements for invigilation.

1.1 Scope

The invigilation requirements set out in this Guide apply to all of FDQ's

- qualifications assessed by exams
- Apprenticeship End-point Assessment exams
- online exams taken on FDQAssess (our online assessment platform)
- paper-based exams.

1.2 Definitions

FDQ uses the following terms throughout this Guide:

| Term | Definition | Example |
|-----------------------------------|---|---|
| <p>Assessment centre</p> | <p>Location for FDQ assessments.</p> <p>Many learners will take their FDQ exam in a FDQ approved assessment centre.</p> <p>The invigilator will usually be at the same location as the learner/s and invigilate face to face. Alternatively, they may invigilate remotely.</p> | <p>For example, a cohort of 10 learners may all take a paper-based Bakery knowledge exam at their FDQ assessment centre – a college. In this case, the invigilator will be in the assessment room at the centre with the learners and there is no remote activity.</p> |
| <p>Remote assessment</p> | <p>Learners may take their exam in a remote location or virtual environment.</p> <p>The centre must agree any remote location and remote invigilation arrangements with FDQ before learners take their exams.</p> <p>The invigilator may be at the same location as the learner/s or invigilate remotely.</p> | <p>For example, one butchery learner may take their MCQ EPA exam at their employer’s site. The assessment is provided remotely, via FDQAssess.</p> <p>The invigilator may be a member of staff present at the employer’s site with the learner. In this case, assessment is remote, but invigilation is conducted in person.</p> |
| <p>Remote invigilation</p> | <p>The process of supervising exams using technology, when the invigilator is in a different location to the learner/s.</p> | <p>For example, another butchery learner may take their MCQ EPA exam at the same employer’s site. The assessment is again provided remotely, via FDQAssess. However, this time, the invigilator is at a different site and will use technology to watch the learner take their exam. In this case both assessment and invigilation are provided remotely.</p> |

1.3 Malpractice and maladministration

The main centre contact is responsible for making sure that all exams are conducted confidentially, fairly, securely and in compliance with the requirements set out in this Guide and FDQ's Centre Handbook. Failure to comply with FDQ's exam requirements could be viewed as maladministration or malpractice. Maladministration or malpractice, may result in

- invalidation of learner exam results
- withdrawal of centre or qualification approval
- FDQ communicating the confirmed maladministration or malpractice to other awarding organisations and relevant regulatory authorities.

1.4 Who can invigilate a FDQ exam?

Centres are responsible for selecting and training suitable staff to act as invigilators.

The invigilator may be a member of staff at the centre, at the learner's workplace, or be an independent invigilator.

Invigilators do not need to hold a formal invigilation qualification. However, FDQ does require all invigilators to be trained for their role before they invigilate any exams.

As a minimum, all invigilators must

- have the knowledge and skills required to carry out the duties set out in this Guide
- be familiar with this Guide and any additional FDQ requirements for the particular exams they are invigilating
- understand and follow their centre's internal procedures for invigilation, record keeping and storage
- be familiar with the JCQ publication '*Instructions for conducting examinations*' available: www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations/
- be trained to use any software or technical equipment needed for remote invigilation, and have trialed and used this successfully, before invigilating any live exams with learners.

End-point Assessment exams

IfATE has set requirements for invigilators of End-point Assessment Organisations' exams. The requirements apply to all new or revised End-point Assessment plans. They are also retrospectively applied to existing End-point Assessment plans.

As a minimum, IfATE requires invigilators (of End-point Assessment exams) to meet the following requirements:

- attend induction training as directed by the End-point Assessment Organisation (EPAO)
- not invigilate an assessment, solely, if they have delivered the assessed content to the apprentice
- invigilate and supervise the apprentice during tests and in breaks during assessment methods to prevent malpractice in line with the EPAO's invigilation procedures.

Invigilator independence

In addition to the requirements in sections 1.4 and 1.5 of this Guide, the invigilator must be independent of learners taking the exams. For example, a teacher must not invigilate learners that they have taught or prepared for the exam. Similarly, a member of an employer's staff with a vested interest in the learner's result (e.g. a direct line manager) must not invigilate their exam, but a member of staff from a different department may invigilate provided they are trained to do so.

1.5 Centre responsibilities for the assessment environment

FDQ's requirements for assessments are set out in our FDQ Centre Handbook and policies and procedures available from www.fdq.org.uk/fdqpolicies

As a minimum, the centre must provide a suitable assessment environment for learners which

- is quiet and free from all distractions
- is safe
- is free from any unauthorised equipment (such as landline and mobile phones, MP3/4 players, smart watches, ear buds, wireless headphones) devices other than the **one**

authorised laptop, device or pc to be used for the exam and the **one authorised** mobile phone permitted when exams are taken online. Any unauthorised equipment that cannot be removed from the exam room must be switched off and placed behind the learner

- provides adequate space for the number of learners taking the exam
- contains a clock visible to all learners
- is free from posters, books and any learning materials
- is free from personal belongings or documents containing information about the learner or others (eg bank statement, photographs). Documents or photographs that cannot be removed must be covered during the exam.

Full details are provided in the checklist at the Annex of this Guide.

1.6 Centre responsibilities for remote assessment

The centre must agree any remote exam location and remote invigilation arrangements with FDQ before learners take their exams.

Learners taking exams online in a remote location are permitted to take **one** mobile phone into the exam room. The phone must only be used by the centre to provide guidance and instructions to the learner in case of an emergency. The phone must be placed behind the learner at the start of the invigilator's check of the exam room and remain there until the exam ends.

In addition to the general requirements listed in 1.5 the centre is responsible for

- ensuring the equipment and broadband/wi-fi they use is fit for purpose, meets FDQ's requirements, has been adequately tested and is fully functional
- dealing with any technical problems or issues before, during and after the exam (other than any issues with the FDQAssess system)
- ensuring learners are prepared for the exam
- supporting the learners during the exam
- ensuring the learners have been provided with FDQ's instructions / guidance about their exam.

1.7 Technical requirements for remote invigilation

FDQ does not mandate the type of software that centres use for remote invigilation. Centres may choose the meeting software such as Zoom, Google Meet or Microsoft Teams (or other) that best meets their operational needs.

However, centres must use software that

- records remote invigilation activities. The centre must retain these recordings for external quality assurance purposes
- allows invigilators and EQAC to see all learners throughout the entire exam. Any breakout rooms or sub-group functionality in the software must be set to ensure the EQAC can maintain sight of all learners throughout the exam.

The remote invigilator will need to use both a smart phone and a laptop/tablet when invigilating exams. FDQ requires invigilators to have both devices as back up in case of emergencies.

In addition to invigilators, FDQ recommends that centres provide a Technical Assistant (TA) to be present during exams (in person or remotely) to assist with any unforeseen technical emergencies that may occur.

The TA role must be restricted to resolving or advising the invigilator on technical issues, e.g. wi-fi failure, or computer break down. The TA may not speak with learners about the content of their exam.

1.8 Learner technical equipment

Learners taking an exam remotely must have access to the technical equipment and materials specified in the FDQAssess Guide. Centres must ensure devices used comply with FDQ's requirements and have been successfully trialed before they are used in live tests.

Learners must only use one authorised device (e.g. a laptop or tablet) for their exam. They may not switch from one device to another during the exam.

Learners may not take FDQ exams on smart phones as the phones do not comply with FDQ's screen size requirements for tests.

2. Responsibilities of invigilators

Invigilators are responsible for making sure that FDQ's exams are carried out fairly, safely and securely. FDQ requires centres to provide

- one invigilator for every fifteen learners if they are together in an assessment centre
- one invigilator for every four learners if invigilation is conducted remotely.

Invigilators must supervise learners throughout the entire exam and ensure learners are not left unsupervised. Invigilators must not carry out any other activities during the exam.

Whether invigilation is carried out at a centre or remotely, the invigilator must ensure that FDQ's requirements are met at all stages of the exam. Sections 2.1 to 2.5 summarise the main responsibilities at each stage. More detailed checklists are provided, at the Annex of this Guide, which invigilators should use to ensure they work to FDQ's requirements.

2.1 Before the exam

The invigilator must

- check that any request for reasonable adjustments and special considerations have been dealt with, according to the centre's requirements, and the outcome has been recorded. Any scribe, facilitator or reader needed to meet access requirements must be independent of the learner and also be familiar with this Guide.
- check the test location meets FDQ's assessment requirements, i.e.
 - it is quiet, free from distractions and interruptions
 - the room is set up correctly, there is adequate space between learners and any seating plan is correct
 - free from any unauthorised equipment such as landline and mobile phones, MP3/4 players, smart watches, ear buds, wireless headphones, devices other than the authorised laptop, device or pc to be used for the exam
 - remote learners have placed their one permitted mobile phone behind them
 - exam-in-progress posters are displayed
 - a clock is visible to all learners
 - ensure that all learners in a cohort can start the exam at the same time
- record all of the pre-exam checks if invigilating remotely; starting the recording as soon as the remote invigilation call/meeting begins and recording until the exam ends
- introduce themselves to the learners
- if invigilating remotely; ensure learners keep their authorised device camera and microphone turned on at all times once recording begins
- complete the centre's invigilation records (e.g. register of learners taking the exam)
- ensure the centre has confirmed the attendance and ID of all learners and ensure that authenticity forms are signed (the centre has responsibility for ensuring ID checks are correct). A passport/ driving licence/ employer photo ID card may be used to confirm the learner's identity (an English translation is required if any original ID was not issued in English)
- make a 360-degree scan of the room (including under tables) to ensure there are no unauthorised items, materials and equipment in the room.
- check learners have recently read the JCQ Guidelines
- check pin codes are available for all learners taking remote exams.

2.2 Starting the exam

When starting the exam, the invigilator must

- announce that learners are now subject to test conditions and rules
- read the exam instructions to the learners
- announce the start time for the exam and time permitted to complete it
- tell learners if and when they may leave the room during the exam, and what they should do if they wish to leave early, take a toilet break, or in case of emergency.

2.3 During the exam

The invigilator should remain vigilant at all times and ensure all learners are supervised.

In addition, they must

- periodically remind learners of the time remaining
- deal with any learners needing to leave the room
 - making sure they are adequately supervised if in an assessment centre and breaks are permitted
 - or advising learners taking remote exams that they will not be allowed to resume their exam if they leave the room or move off camera and that they will need to take another exam.
- respond to any (permitted) learner queries – making a note to report them to FDQ
- instruct learners in case of emergency during the exam
 - advise learners taking remote exams that they will need to take a new exam if they leave the exam room (eg for a fire drill). If it is safe to start a new exam after the emergency, and if the learner wants to start the new exam on the same day, this is allowed. If not, a new exam must be arranged.
- deal with any system or equipment failures that occur during a remote exam
 - such as providing an offline copy of an exam paper for a learner to complete

If there is a minor technical issue at the start of the exam (eg logging in to FDQAssess) which can be resolved, the exam may continue. If there are major system failures the exam must be stopped and the learner will need to take another exam.

2.4 Ending the exam

When ending the exam, the invigilator must

- instruct the learners to stop work, announce the end time, and tell learners they are no longer subject to exam conditions
- read the concluding remarks to the learners and advise them what they should do next
- ensure the invigilation recording is stopped and secured according to the centre's requirements
- collect and secure completed exams
- secure and close all devices if invigilating remotely.

2.5 After the exam

Once the exam has ended and learners have departed the invigilator must complete the invigilation check lists and any other centre invigilation documents, including records of emergencies or incidents that occurred during the exam, and submit them to the responsible Centre Contact for storage.

FDQ recommends that centres use the checklist provided in the appendices of this Guide. The checklists are not mandatory, and centres may use their own documentation to record invigilation activity. However, any centre documentation must meet the FDQ's requirements set out in this Guide.

3. Centre records

FDQ does not provide and mandate invigilation and learner attendance records. Instead, centres are free to use records that suit their own internal quality assurance systems.

As a minimum, FDQ requires centres to keep invigilation information to demonstrate

- that a register or record of which cohort of learners completed the exam was completed (listed by learner name and FDQ registration number); including the date and location of the exam; full title of the qualification or EPA exam taken

- that the learner ID was checked, and the learner confirmed the exam was taken in their correct name
- that the learner was advised of the exam conditions, rules and the JCQ Guide
- decisions taken to deal with any requests from learners for reasonable adjustments (RA) and special considerations (SC) to ensure they comply with FDQ's policies for RA and SC
- how any interruptions to the exam were dealt with.

The centre is responsible for storing all invigilation records, including video and audio recordings, for 12 months after the date of the exam or until any appeals and malpractice investigations are resolved.

[GDPR statement for remote exams](#)

When taking an exam on FDQAssess, learners consent to their personal data, including details of their ID being recorded and retained by their centre and FDQ.

4. FDQ invigilation audits

As part of FDQ's quality assurance processes, we reserve the right to carry out audits to ensure centres comply with the requirements of this guide.

As part of the audit process, FDQ staff may

- ask centres to provide copies of invigilation records, such as invigilator training records, learner ID checks, records of technical issues or delays during an exam, recordings of learners taking their exam
- visit a centre to observe invigilation of an exam in person
- observe a remotely invigilated exam by joining as a third party.

Appendix 1 Checklist for invigilation in a centre

| Title of FDQ exam/qualification/EPA | | | | | |
|-------------------------------------|---|-----------------|-----------|-------|------|
| | Invigilator name: | Learner name/s: | Location: | Date: | |
| | Action | | | | Tick |
| 1 | Complete learner ID checks via passport/ driving licence/ employer photo ID card (an English translation is required if original ID not issued in English) | | | | |
| 2 | Read out pre-exam statements <ul style="list-style-type: none"> • Ask learners to read JCQ's information for candidates available at: www.jcq.org.uk/exams-office/information-for-candidates-documents/ • Ask learners if they have any questions before the exam starts • Remind learners that no authorised devices, (including smart watches), learning materials and personal belongings are allowed in the exam area | | | | |
| 3 | Check seating/spacing of learners (1.25m apart) | | | | |
| 4 | Explain rules on leaving room during the exam for toilet breaks etc | | | | |
| 5 | Explain emergency procedures | | | | |
| 6 | Explain any fire drills due, and the action to take | | | | |
| 7 | Check the room is cleared of any unauthorised materials | | | | |
| 8 | Confirm a clock is clearly visible to all learners | | | | |
| 9 | Instruct learners to raise their hand and wait for an invigilator to approach them and ask questions quietly, if learners have questions during the exam. | | | | |
| 10 | Remind learners to use a pen not a pencil to complete the test | | | | |
| 11 | Remind learners to complete the front page of the exam paper | | | | |
| 12 | Remind learners to read all instructions on front of the exam paper | | | | |
| 13 | Explain rules about leaving before the end time allocated and leaving room early (ie not in the first 30 mins and not in the last 10 mins) | | | | |
| 14 | Remind learners to check they have attempted all questions in the exam | | | | |
| 15 | Start the exam - with invigilator having a clear view of the learners at all times – and tell learner/s they are under exam conditions | | | | |

| | | |
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| 16 | Read out the start and end time and remind learners of time remaining at 15 minute intervals. | |
| 17 | Tell learners to stop work at the end of the time allowed for the exam | |
| 18 | Make a note of the exam start and end time | |
| 19 | Check that all completed exam papers are signed and dated by learners and invigilator, along with any reasonable adjustment documents, and are collected and stored securely | |
| 20 | This checklist and centre's invigilation records are completed and processed. | |

| | |
|-----------------------|--|
| Invigilator name | |
| Invigilator signature | |

Appendix 2 Checklist for remote invigilation

| Title of FDQ exam/qualification/EPA | | | | | |
|-------------------------------------|---|-----------------|-----------|-------|------|
| | Invigilator name: | Learner name/s: | Location: | Date: | |
| | Invigilator Actions | | | | Tick |
| 1 | Start recording as soon as the invigilation call/meeting begins and carry on recording until the end of the exam | | | | |
| 2 | Complete virtual tour check of the room, ensuring it is fit for assessment purpose (360 degrees and under desk). Check the one permitted mobile phone is placed behind the learner. | | | | |
| 3 | Confirm the learner is positioned with back to the door (and Invigilator can visually see the door). | | | | |
| 4 | Read out pre-exam statements Ask learner to confirm they have read the JCQ information available at: www.jcq.org.uk/exams-office/information-for-candidates-documents/ <ul style="list-style-type: none"> • Ask learner if they have any questions before the exam starts • Remind the learner that no unauthorised electronic devices, (including smart watches), learning materials and personal belongings are allowed in the exam area | | | | |
| 5 | Obtain learner confirmation and acceptance of the video / audio recording of the exam | | | | |
| 6 | Complete learner ID checks via passport/ driving licence/ employer photo ID card (an English translation is required if original ID not issued in English) | | | | |
| 7 | Read the test instructions screen to the learner. Confirm the time allowed and number of questions. | | | | |
| 8 | Start the test - with invigilator having a clear view of the learner at all times – and tell learners they are under test conditions | | | | |
| 9 | Remind learners to read all instructions at the beginning of the test | | | | |
| 10 | Remind learners to check they have attempted all questions in the test, and to tell the invigilator they have done so, before they click “finish” to end the test | | | | |
| 11 | Explain rules about leaving before the end time allocated and leaving room early (ie not in the first 30 mins and not in the last 10 mins) | | | | |
| 12 | Read out the start and end time, and remind learners of time remaining at 15 minute intervals | | | | |

| | | |
|----|---|--|
| 13 | Tell learners to stop work at the end of the time allowed for the exam | |
| 14 | Make a note of the exam start and end time | |
| 15 | This checklist and centre's invigilation records are completed and processed. | |

| | |
|-----------------------|--|
| Invigilator name | |
| Invigilator signature | |