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Introduction

This document replaces the Centre Handbook for Functional Skills which was available in September 2010. It was designed to combine all the information required to run Functional Skills within the Centre and includes a number of forms which are used for Functional Skills. Electronic versions of all the forms can be found on the NOCN website.

Please note that the Centre Handbook for Functional Skills should only be used for Functional Skills qualifications.

All centres, including those which have taken part in the NOCN Functional Skills pilot, will have to complete a new qualification approval form in order to be able to deliver the new qualifications from September 2010. NOCN will support new centres in the completion of the qualification approval process.

Further support for any aspect of the Functional Skills qualifications can be found by contacting functionalskills@NOCN.org.uk or the NOCN office on 0114 2270500.
Centre signs combined NQ1 and NQ2 to confirm compliance with qualification requirements. Combined NQ1 and NQ2 sent to NOCN.

NOCN sets up password for access to Live Assessments (all levels) for NOCN website. NOCN gives out password.

This password is valid for access to all Entry level qualifications assessment materials and Level 1 and 2 Speaking, Listening and Communication and ICT datafiles.

**Entry Level**

Centre registers learners using either Quartzweb or NOCN normal procedures and timelines. FS Learner Registration Form sent to NOCN. Separate details are required for each component of English. MUST include Unique Learner Numbers for all learners. Learners MUST be registered before sitting the assessments.

Reasonable adjustments recorded on NQ12 and held in centre for QR visit.

NOCN sends RAC to centre. Centre checks RAC and corrects spelling errors on form.

Learners may be transferred onto a different level or skill by sending an e-mail to NOCN.

Centre downloads assessments required from NOCN secure website.

Learners complete assessments and centre marks using mark scheme downloaded from NOCN secure website.

Minimum of 10% of assessments of Speaking, Listening and Communication across all levels and E1 Maths must be observed by the Internal Verifier alongside the Functional English/ Maths tutor to check processes and agree assessment decisions.

**Level 1 and 2**

Centre registers learners using either Quartzweb or the combined Registration and Booking form. MUST include Unique Learner Numbers. **Learners must be registered for each component of Functional English.** Although early registration and assessment booking is preferred, registration and assessment booking is completed at the same time, but must be received by your NOCN no less than 5 working days before the date of the assessment. NOCN charges on registration.

Results must be identified clearly, either through marking it in the notes section on Quartzweb or by including an (r) at the end of the learners' assessment booking e.g. for a resit in Reading Level 1 the learner would have YR in the Reading Level 1 column.

Requests for reasonable adjustments to be recorded on NQ12 and sent to NOCN.

Learners may be transferred onto a different level by sending an e-mail to NOCN. However it is expected that because of the late registrations allowed, transfers at level 1 and 2 will be minimal.
Centre IVs 10-25% of all assessments and contacts NOCN for External Verification visit.

Quality Reviewer checks assessment and verification decisions. Checks evidence from centre to recommend Direct Claims Status. Signs RAC.

If centre is completing Functional English, NOCN sends an RAC to the centre for Speaking, Listening and Communication.

Centre downloads Speaking, Listening and Communication assessment from NOCN secure website using login provided.

Assessment is completed and assessment record sheet completed by assessor. Minimum of 10% of assessments to be observed by Internal Verifier alongside the FS English tutor and a written record produced.

Assessment records are internally verified and then FS Centre contact signs RAC. All record sheets, IV observation records and IV records are retained for the next EV visit. The RAC is sent to NOCN for processing.

EV checks assessment records at next EV visit. If there are significant issues, EV to contact NOCN and give feedback. If similar issues arise after second assessment period, no further claims to be made directly by centre until after a successful EV visit.

NOCN registers learners and checks if they have completed Functional Skills assessments at that level before. Learners are then linked to the assessments.

NOCN uploads assessment papers for Centre 2 working days before the assessment.

Centre checks the papers against the Assessment Front Sheet and their LRF.

Any spelling errors of names to be changed on the form.

Centre downloads papers and ICT datafiles from NOCN website.

Learners complete assessments. Centre may be visited by Quality Reviewer from NOCN on date and time of assessment.

Centre posts completed assessments within 24 hours of assessment to NOCN for marking in next marking period (every month).

NOCN sends results to centre within 20 working days of the start of marking period.

If centre is completing Functional English, NOCN sends an RAC to the centre for Speaking, Listening and Communication.

Assessment records are internally verified and then FS Centre contact signs RAC. All record sheets, IV observation records and IV records are retained for the next EV visit. The RAC is sent to NOCN for processing.

Ev checks assessment records at next EV visit. If there are significant issues, EV to contact NOCN and give feedback. If similar issues arise after second assessment period, no further claims to be made directly by centre until after a successful EV visit.

NOCN sends results to centre within 20 working days of the start of marking period.

NOCN issues qualification certificate using normal processes if all components have been completed and achieved.

Centre completes NQ7 to confirm receipt of certificates and returns to NOCN within 5 working days of receipt of certificates.

PLEASE NOTE: National guidelines for this qualification are that English component certificates will not be sent out unless the centre requests them from NOCN. Normally only the qualification certificate would be issued.
Entry Level

Entry level assessments are revised each August. Centres will register for the required Functional Skill and level but will not need to state which assessment they will use with their learners. Learners must be registered for each of the Functional English components. The English registrations could be all at the same level or could reflect a spiky profile, e.g. E3 Reading, E3 Speaking, Listening and Communication and E2 Writing. If the learner achieves this spiky profile, the qualification will be achieved at the level of the lowest component.

See www.nocn.org.uk for information about current charges. Transfers between levels or skills will be possible free of charge by emailing NOCN.

From Sept 2010, resits at Entry level will be free but centres will be charged as soon as they register a learner. Centres will complete a simple tracking sheet (FS3) provided by NOCN in the Centre Handbook for Functional Skills to show which assessments were taken by each learner. This is to record pass and fail data. This tracking sheet must be available at the time of the EV visit and a copy of the form must be sent to NOCN to enable NOCN to record this data for monitoring purposes.

Functional English

Normally learners should complete the three components of English (Speaking, Listening and Communication, Reading and Writing) within the same theme, e.g. Pets. If a learner fails one of the components e.g. Writing, they need only take the failed component again using a different assessment theme, e.g. A meal with friends, Writing. The centre should record the assessments taken on the functional skills tracking sheet form FS3.

Level 1 and 2

Level 1 and 2 - Centres are able to specify dates and times of assessments. From September 2011, this will be on demand.

Marking periods will be held twice every month, including the summer months, and results will be released to centres within 20 working days of the cut off date for the marking period. Dates for all marking periods may be found on the NOCN website. See www.nocn.org.uk for current charges. Centres will be charged on registration of learners. Resits will be charged at the same rate for Level 1 and 2.
2. NOCN Centre Recognition

Centre Recognition is an agreement made between you as the Centre and NOCN, specifying the minimum requirements your organisation must commit to in relation to curriculum, quality and administration in Functional Skills. It provides us with information about your Centre and its structure and contacts. It sets out the terms and conditions for Recognition and the obligations on the Centre when using NOCN provision.

NOCN will assign a member of the Development team to your organisation who will support you in the Centre Recognition process.

As part of the NOCN quality assurance process a Recognised Centre will be monitored regularly by a External Verifier (EV) who will report on your organisation’s ongoing commitment and continued Recognition as an NOCN Centre.

In addition to the normal Centre Recognition process, centres will complete an NQ1 form to gain qualification approval for Functional Skills. A copy of this is kept by NOCN. If a Centre has Sector 14.1 approval, they must still have qualification approval for Functional Skills; NOCN will provide guidance on the qualification and will direct the Centre to the requirements of NQ1.

2.1 Centre Recognition: Policies and Procedures

NOCN Centre Recognition requires that your Centre has in place the following policies and procedures, to support your Centre’s quality systems:

- Access to Fair Assessment Statement.
- Appeals procedure for candidates.
- Complaints procedure.
- Disability Discrimination policy.
- Equal Opportunities and Diversity policy.
- Health and Safety policy.
- Internal Verification policy.
- Malpractice procedure.
- Policy on checking for criminal records.

Section 7 gives guidance on the drafting of policies to support Centre Recognition and NOCN can provide further guidance and support to develop these policies. However, it is the responsibility of the Centre to develop the
policies and procedures that reflect their operating circumstance and extent of curriculum offer.

2.2 Centre Recognition Application: Guidance

This guidance has been provided to help you with completion of the Centre Recognition Application and to understand the meaning of our terms and conditions. NOCN will provide you with additional guidance and you should return the form to them once it has been completed and signed by the Centre contact.

(Please note all numbers refer to the Terms and Conditions in the Centre Recognition Application)

4.1 Have a robust system for the internal approval of all NOCN courses

All Centres must be able to demonstrate and have documented a robust internal approval process for the approval of all NOCN courses prior to them being submitted to NOCN, to ensure that courses are coherent.

The system should cover:

- How courses will be designed and written.
- Who will be responsible for designing and writing courses.
- How you will ensure that your courses are coherent.
- How courses will be validated internally.
- Who will be responsible for approving courses for submission to NOCN.

There is further guidance on Developing Courses for your Learners in Section 3.

4.2 Have resources, systems and staffing that will be appropriate to support the qualifications provided and ensure that staff have access to appropriate training, guidance and support

Your Centre must ensure that:

- An appropriate staffing structure is in place to meet all course delivery requirements.
- The qualifications and profile of all staff that deliver NOCN Functional Skills qualifications are appropriate for the Functional Skills curriculum and assessment and the target group.
• All delivery staff will be supported to achieve relevant and appropriate professional qualifications in line with current Government strategy and policy. This may include specific requirements, for example, Skills for Life teaching qualifications, however at the time of printing, no specific qualifications are required for Functional Skills deliverers, IVs or assessors.

• All delivery staff will be able to access training in NOCN Assessment and Internal Verification of Functional Skills.

• All staff new to NOCN provision will be inducted by the Centre into relevant procedures, including administration and internal quality assurance.

• All staff new to NOCN provision will be provided with relevant NOCN documentation and be supported in administration requirements, delivery and assessment.

• NOCN is notified in writing of any changes to staff appointed as NOCN contacts.

• Appropriate IT/materials/facilities are available to enable learners to achieve learning aims.

• It uses buildings for assessment purposes that provide access for all candidates, in accordance with relevant legislation.

**E-assessment**

NOCN recognises that e-assessment is a rapidly growing area and supports the work of the regulatory authorities and LLUK in developing standards for systems and staff.

At the present time, NOCN Functional Skills qualifications are not assessed by e-assessment. It will be a requirement however, that if this option is made available, Centres that wish to offer qualifications using e-assessment must have:

**E-Testing**

• An ICT system that meets the specifications set out by NOCN’s technical partner where this is required.

• Staff to administer e-tests and provide technical support, prepare learners, and invigilate to ensure that e-tests are conducted appropriately.

Further details about these requirements are available from NOCN.
4.3 Ensure that valid and reliable assessments of learners’ achievements are conducted and recorded

Assessment for Functional Skills at Level 1 and 2 is an externally set and marked assessment with the exception of Level 1 and 2 Speaking, Listening and Communication which is internally assessed and may be internally set by Centres. Alternatively, Centres may use the benchmark assessments for Speaking, Listening and Communication provided by NOCN. It is vital that the Centre invigilates the externally set and marked assessments in accordance with the Joint Council for Qualifications (JCQ) General, Vocational and Diploma Qualifications Instructions for Conducting Examinations. Invigilation guidance may also be found on the NOCN website in the Functional Skills section or see Appendix D for the NOCN invigilation guidance.

Assessment evidence for all Functional Skills at Entry Level is produced through completion of an externally set assessment which is internally marked and externally verified. Centres are allowed to contextualise the assessments in line with NOCN guidance in the mark schemes without submitting the contextualised assessments to NOCN. If the centre decides to devise their own assessments, these must be submitted to NOCN for approval at least 15 working days prior to the scheduled date for their use with learners. The centre must ensure that a copy of the approved new assessment or the contextualised assessment is submitted to the External Verifier before the External Verification visit.

4.4 Ensure that it has in place an appeals and complaints procedure and learners are made aware of this

Your Centre must have an appeals and complaints procedure(s) which learners are able to use where they wish to challenge assessment decisions and lodge other complaints. The Centre should make learners aware of this policy.

4.5 Implement a quality management system that is systematically reviewed to ensure that learners and staff needs are met, that all appropriate persons are kept up to date with quality policy, procedures and standards, and that responsibilities for the management of these systems are clearly and appropriately allocated.
Your Centre will need to develop and implement a robust internal quality assurance system that is periodically reviewed/amended where necessary.

Further guidance on the development of quality assurance systems is set out in Section 4 of the NOCN Centre Handbook.

### 4.6 Agree to contribute to the process of NOCN standardisation

Your Centre must:

- Plan and undertake standardisation of internally or externally set tasks and the outcomes of internal assessment.
- Contribute assessed material to NOCN Functional Skills standardisation activity in accordance with published procedures.

**Purpose**

- To ensure consistency in the application of level across NOCN Functional Skills Entry level and Level 1 and 2 Speaking, Listening and Communication provision.
- To promote consistency of practice in assessment and verification.
- To inform NOCN quality improvement cycle, including training and development.
- To ensure that different assessment activities allow for the generation of appropriate assessment evidence, with direct reference to the assessment definitions document as appropriate.
- To share good practice.
- To identify national exemplary benchmarks.

NOCN External Verifiers are responsible for identifying and collecting evidence from Centres, based on levels, i.e. top, middle, bottom within a level or from different levels. NOCN staff will, at Regional Standardisation events, select a further, smaller sample to send to National Standardisation.

All Functional Skills internally marked assessments must be retained until after the next External Verification visit and for standardisation purposes.
4.7 Have administrative systems that will enable NOCN requirements to be met promptly, accurately and securely

Your Centre must ensure:

- Accurate and prompt administration of all course, qualification and learner registrations in accordance with the published deadlines.
- Accurate record keeping of all course, qualification and learner registrations.
- Prompt distribution of certificates to all learners.
- Appropriate documented security arrangements for storage of external assessments or assessment papers.
- Adherence to examination/external assessment venue criteria and invigilation requirements which are listed in the relevant qualification handbooks.

For Functional Skills at Level 1 and 2 registration and assessment booking must take place at the same time using the Functional Skills Learner Registration and Assessment Paper Booking form. This must be submitted to NOCN a minimum of 5 working days before the planned assessment date. Booking forms must be explicit in stating the assessment date and time for all assessments so that NOCN or other regulatory bodies may undertake spot checks to check that the assessments are being run in accordance with NOCN guidance.

Please note that Centres do not need to inform NOCN about the time and date of Speaking, Listening and Communication assessments.

Functional Skills at Entry Level follows normal NOCN registration deadlines and it is essential learners are registered using normal NOCN procedures at the beginning of the course.

4.8 Document the respective roles, responsibilities and accountabilities of each partner/sub-contracted service, with clear lines of communication between the partners, where a Centre is part of a partnership agreement between organizations.

Your Centre must have an appropriate and effective system for the management of all partners or sub-contracted services. All policies and requirements referred to in this application will apply to any partnership and/or sub-contracted service. Your Centre is also responsible for ensuring
that these policies and requirements apply to any satellite site affiliated to the Centre for example remote assessment sites or delivery points.

4.9 Inform NOCN immediately if they are aware that a candidate has particular requirements that will need to be considered as requiring reasonable adjustments or special consideration

NOCN’s policy on assessment is to give all learners equal access and opportunity to demonstrate their achievements. This is to ensure that arrangements are made to take account of particular requirements, without giving unfair advantage over other learners.

Further guidance regarding reasonable adjustments and special considerations is contained within the NOCN Reasonable Adjustments and Special Considerations policy which is available on the NOCN website www.nocn.org.uk

Specific guidance related to Access and Inclusion for Functional Skills qualifications are set out in the Qualification Specifications for each Skill. This outlines specific arrangements available to candidates to meet the requirements of each Functional Skills qualification. The Functional Skills criteria may be found on the Ofqual Website at www.ofqual.gov.uk/2578.aspx

If a learner requires special adjustments at Entry level, the Centre must complete the NQ12 form. This form should be retained in the Centre and be available at the Quality Review meeting.

If a learner requires special adjustments at Level 1 and 2, the centre must complete the NQ12 form and submit this to their NOCN as soon as possible and agreement must be given for the required adjustment before the assessment takes place.

4.10 Report to NOCN any suspected malpractice involving candidates, Centre staff or any other party

Malpractice is any action which threatens the integrity of the assessment and certification of the NOCN award of credit. It covers those actions which might come under the headings of non-compliance, maladministration or professional misconduct.
NOCN reserves the right to withhold the issuing of results of assessment while investigations are ongoing. Depending on the outcome of the investigation results may be released or permanently withheld.

The centre should take particular note of the invigilation guidance for the Functional Skills ICT Level 1 and 2 assessments which contain specific instructions about the use of internet and email. Any learner who fails to follow the instructions must be reported to NOCN and an investigation must take place internally within the centre and then sent to NOCN. This may result in the learner or the cohort being disqualified from that assessment.

Level 1 and 2 papers will be downloaded from Quartweb. The papers will be available 24-48 hours before the assessment is due to take place. Level 1 and 2 papers must not be stored or distributed electronically or photocopied and used by the centre as practice papers when they have been downloaded.

Level 1 and 2 papers are live for one academic year. All used papers must be returned to NOCN by recorded delivery within 24 hours of the completion of the assessment. All papers are checked on receipt at the regional office. Unused papers may be stored securely in the centre until required again.

4.11 Keep complete and accurate records, for at least three years from the end of year to which they relate, for all qualifications and make these available to NOCN on request

Your Centre is required to retain the following records:

- Name of learner, date of birth and contact address.
- Title and accreditation number of each qualification and unit studied.
- Name(s) of assessor(s).
- Assessment records, including assessment decision and reason for decision.
- Name(s) of Internal Verifier(s).
- Internal Verification reports.

All Functional Skills internally marked assessments including Level 1 and 2 Speaking and Listening assessment records must be made available at the next External Verification visit.
4.12 Agree to abide by all reasonable stipulations by NOCN concerning the use of their logos

Your Centre must gain prior permission in writing to use the NOCN logo from NOCN.

It is only possible to use the logo on promotional material that relates directly to NOCN qualifications NOCN accredited programmes once permission has been granted.

Once agreed the Centre is able to use all the logos that they are sent provided that they replicate the logo in line with NOCN guidance.

4.13 Agree to provide NOCN and the regulatory authorities, on reasonable notice, with access to premises, people and records as required. Agree to fully co-operate with their monitoring activities, including but not limited to providing access to any premises used (including satellite sites)

If any clarification is needed then please contact NOCN.

4.14 Comply with all relevant law and regulatory criteria as updated and amended from time to time

Any changes to the regulatory criteria that your Centre is expected to adhere to will be communicated to the Centre via NOCN. This will include any specific changes to the Functional Skills criteria. It is important that all relevant staff have access to the Functional Skills criteria for English, Mathematics and ICT.

You are expected to be aware of and comply with other changes to the legal framework which may affect your NOCN activity. For example, changes in health and safety legislation, employment practices, disability discrimination etc.

4.15 Have effective communications systems in place both internally and with NOCN, and with learners

It is the responsibility of your Centre to ensure all contact names provided to NOCN are kept up to date and that relevant information is communicated to staff and learners as appropriate.
Centres are required to submit the Centre Recognition Application Form to notify NOCN of changes.

4.16 Agree to the prompt payment of all invoices relating to the accreditation process in line with NOCN annual published charges.

The NOCN annual charges are published and updated on the NOCN website and are available from NOCN.

4.17 Accept that if the Centre defaults on the commitments made in this application it may lead to the removal of its recognised status

NOCN will be entitled to terminate Centre Recognition by summary notification if at any time the following events occur:

- The Centre acts in any way which may bring into disrepute the name and reputation of NOCN.
- The Centre does not allow access, on reasonable notice, to premises, people and records as required.
- The Centre does not adequately respond to issues raised in Quality reports which affect the security of the award of credit.
- The Centre makes use of any intellectual property rights of NOCN other than as permitted by the contract with NOCN.
- The Centre ceases to trade or becomes insolvent or it, or its assets, becomes the subject of receivership, administration or liquidation or any other form of arrangement with creditors.
- The provider is in breach of its confidentiality obligations to NOCN.

NOCN will impose sanctions where necessary to ensure that requirements of the Centre Recognition agreement are met.

Sanctions could vary from the imposition of conditions on continued direct claims status to withdrawal of Centre Recognition. The level of sanction imposed will depend on the nature of the Centre’s non-compliance in relation to the:

- Quality of provision/qualifications.
- Interests of the learner.

In cases of serious breach of the agreement, for example, in relation to security of assessment, NOCN may withdraw Centre Recognition. In other cases conditions may be put in place and monitored by NOCN. The
Centre will be supported by an NOCN officer to address the areas for concern identified.

In cases of serious breach, and at its discretion, NOCN will inform the Qualifications Regulators of any breach which it deems may impact beyond the Awarding Body to other Awarding Bodies and/or the Qualifications Regulators.

In all cases the Awarding Body will endeavour to ensure the security of learner achievement.

3. **Curriculum Offer**

The curriculum offer describes the range and volume of provision that you are developing through NOCN. It can contain NOCN Qualifications as well as NOCN validated units.

The curriculum offer is developed through discussion with NOCN and will focus on your identification of learner need. The Qualifications and Units of Assessment which you wish to use are arranged in sectors and have been approved at different levels, from Entry Level to Level 3.

**Deciding What you Need in Your Curriculum Plan**

NOCN has available a large number of Qualifications to meet a range of learner need. These Qualifications cover specific curriculum areas as well as our unique Qualifications for Progression, which are a number of Awards, Certificates and Diplomas from Entry Level to Level 3.

NOCN Qualifications are predominantly credit based and use Units of Assessment which combine into the right course for your learners. You can select the best Units of Assessment for your learners from the unit bank and, using guidance from NOCN, ensure that the course is targeted at the right level and volume of learning.

Functional Skills from September 2010 will not be credit based as the qualifications are on the National Qualification Framework (NQF). There are no Units of Assessment; the assessment of the qualification is through summative assessment and not a portfolio of work.

Units from other NOCN qualifications may be used to develop underpinning skills in English, Mathematics and ICT, but these units cannot be used to replace Functional
The only way to achieve Functional Skills is through completion of the summative assessment(s) for the qualifications.

Once you have discussed and agreed the initial curriculum offer you can, at a later date and as circumstances change, add new Units of Assessment or new sectors to your Curriculum Plan. NOCN will guide you in developing the range and scope of your offer.

4. Quality Assurance System

Internal Quality assurance

As a recognised Centre you have undertaken to meet certain requirements regarding internal quality assurance arrangements as detailed in the Centre Recognition Application and with the Qualification Approval for Functional Skills (NQ1). Compliance with these requirements will be monitored regularly by your allocated NOCN External Verifier, who will report on the progress of any agreed actions for quality improvement.

4.1 Internal Verification

Definition and Purpose

An effective Internal Verification system ensures assessment practices and decisions are regularly reviewed and evaluated to ensure the validity of the award of credit.

Guidance on Internal Verification

Any Centre delivering NOCN Functional Skills must have quality systems in place to underpin that delivery. Systems will vary between Centres according to what is appropriate in the particular situation. Practices that work in a large Centre will not necessarily work in a small one and the context of, for example, an employer-based provider may mean that there are different requirements from that of a College. Whatever the situation there are two key points – there must be an appropriate system in place, and there must be evidence that it is implemented effectively.

‘Quality system’ is an umbrella term that includes a number of key aspects of the way in which a Centre operates its quality assurance. In reviewing the
system that any Centre has in place we are looking for it to deliver a range of outcomes, including:

- A team of well-informed committed and supported tutors, sufficient in number for the planned provision.
- Adequate resources to support learners’ study.
- Guidance and support for learners and provision for individual needs.
- Equal opportunities in practice that help to maximise the participation of learners.
- Assessment procedures which are inclusive and offer participation, equity and reliable standardisation.
- Systems which provide efficient recording and evaluation.
- Real progression routes for learners, and preparation for work and/or further study.

Implementing Internal Verification

Internal Verification is the means by which a Centre ensures that many of these outcomes are achieved. It is a process by which the Centre regularly samples and evaluates its assessment practices and decisions and acts on the findings, to ensure consistency and fairness. It involves two key processes – verification and standardisation – and is carried out by one or more internal verifier.

The role of the internal verifier is to ensure that:

- Assessment is appropriate, consistent, fair and transparent and does not unintentionally discriminate against any learner.
- Tutors/assessors receive ongoing advice and support, for example in designing formative assessment activities.
- Learners clearly understand assessment requirements and are given opportunities to achieve.
- Learners’ work is presented in a manner that enables effective verification to take place.
- Functional Skills mark schemes have been applied correctly and are used to record learner achievement.
- Recommendations for the achievement of the assessment are valid, reliable and consistent.

Internal Verification arrangements must include as a minimum:

- An identified individual responsible for co-ordinating the Internal Verification process.
A planned structure for Internal Verification that incorporates all of a Centre’s Functional Skills provision.

An agreed and published annual timetable for Internal Verification, including Internal Verification meetings.

Clear and documented roles and responsibilities for all those involved.

A forum for discussion of borderline cases and good practice in assessment.

Sampling of assessed work.

Standardisation of assessed work.

Full and clear records and action plans.

Regular evaluation of the process.

An internal verifier therefore has a central role in the operation of the Centre’s quality system. A Centre may have one or more internal verifiers, according to the size and variety of its provision. All must have experience relevant to the area(s) for which they have responsibility. They should also have an understanding of quality assurance and improvement, and the Centre must ensure that they develop their practice in this field.

Models of Internal Verification

There are a number of models of Internal Verification that the Centre can operate, depending on their particular situation. Some key points underpin all models:

- All tutors/assessors must be involved.
- All Entry level Functional Skills and Level 1 and 2 Speaking, Listening and Communication provision must be included.
- No individual can internally verify work that they have themselves assessed.

Model 1 – Single Internal Verifier

This is the simplest arrangement, in which there is one internal verifier who verifies the work of all of a Centre’s assessors. This model would be particularly appropriate for a small Centre.

Model 2 – Designated assessors act as Internal Verifiers

In this model a number of a Centre’s assessors are identified as internal verifiers, and each is responsible for moderating the work of one or more other assessors. There must be an identified co-ordinating internal verifier, who has
overall responsibility for ensuring that the verification process operates effectively. S/he would normally verify assessment carried out by the other internal verifiers.

This model would be appropriate for a larger Centre, particularly where there is provision across a number of sectors. In this case the co-ordinating internal verifier is likely to have significant experience in quality assurance that enables him/her to verify across the range of the centre’s provision.

**Internal Verification activities**

The following activities must take place during the course of an Internal Verification cycle. The length of this cycle will vary according to a Centre’s provision. In many cases this will be based on an academic year, but some will use the calendar year and others will operate on a ‘rolling’ basis with a succession of short courses for which the start and finish of a ‘year’ could be set at any agreed point.

**Planning for Internal Verification**

A plan of the proposed Internal Verification activity must be developed before the cycle begins. This must indicate what will happen, when it will happen, who is to be involved and how it is to be recorded.

**Induction and updating for tutors/assessors**

All new tutors/assessors must be introduced to the Centre’s NOCN provision, processes and practice. It is essential that they:

- Have all the relevant assessment materials, mark schemes and other course documents.
- Clearly understand the assessment requirements and procedures.
- Have information about, and access to, training opportunities and support materials, both within the Centre and as provided by NOCN.

All tutors/assessors must know who is managing the Internal Verification process and who will actually carry out the Internal Verification of the work they will be assessing. They need to know what is in the verification plan and about any issues relevant to their work that may have arisen from previous Internal or External Verification or from evaluation of the verification process.
Quality systems must adhere to the Functional Skills Appendix A - Functional Skills controlled assessment regulations. These apply to all Entry Level Functional Skills qualifications and to Speaking, Listening and Communication at Level 1 and 2.

Internal verification must include observations of 10% of Speaking, Listening and Communication assessments at all levels and Mathematics Entry 1 as specified in the Qualification Specifications. 10-25% of marked assessments and mark schemes should also be internally moderated.

**Contextualising NOCN assessments and centre devised Entry level and Level 1 and 2 Speaking, Listening and Communication tasks**

Functional Skills Level 1 and 2 qualifications are externally set and marked with the exception of Speaking, Listening and Communication. No internal verification is required for externally marked assessments.

Although NOCN provides externally set assessments at Entry level and for Speaking, Listening and Communication (at all levels), centres may design their own assessments or contextualise the externally set assessments, using the guidance in the Qualification Specifications and the mark schemes for the assessments.

Centres who wish to design their own Entry level assessments must submit them to NOCN for approval at least 15 working days before the scheduled date for use with learners. If they contextualise the assessments in line with the guidelines in the mark scheme, NOCN does not need to approve the assessment before use.

Centre devised Level 1 and 2 Speaking, Listening and Communication assessments do not need NOCN approval before assessment takes place, but the centre should take care to use the benchmark tasks as guidance for devising their own tasks and the assessment record sheet provided must be used.

**Planning and managing assessment**

It is essential that assessment is carried out in a structured way, both for the benefit of the learners and in order that effective Internal Verification can take place.
The internal verifier will therefore need to work with tutors/assessors before a course begins to ensure that:

- Learners are made aware at the beginning of the course what the assessment requirement will be.
- A process is in place that incorporates constructive individual feedback to learners on their assessed work.

Over the course of the year the internal verifier will need to ensure that assessment is being carried out as planned. This will involve holding regular Internal Verification meetings with tutors/assessors. These meetings should be specific to the Internal Verification process to allow it to receive the necessary focus – even if all those involved work closely together and discuss assessment and verification informally in the course of their work.

The internal verifier will also need to meet with learners at some point during their course to ensure that their experience of assessment is positive. In particular it is important that they:

- Understand the assessment requirements.
- Are receiving clear and constructive feedback during their preparations towards assessment.

The timing of a meeting with learners should be appropriate to the particular course and group. It should be far enough into the course for some meaningful formative assessment to have taken place, but early enough for any issues to be addressed before the learners’ chances of achievement are compromised.

**Sampling assessment**

It is the internal verifier’s responsibility to monitor the quality of assessment through the sampling of assessment decisions. The internal verifier – not the assessor – should specify the sample of assessed work that s/he wants to see, and it is important that the sample is sufficient for the internal verifier to form a view on the consistency and validity of the assessment. The minimum sample size is 10% or five assessments, whichever is the greater.

In sampling assessed work the internal verifier should look for evidence that:

- Assessments are marked using the Functional Skills mark schemes and record sheets
Assessment decisions are fair and consistent, both across provision and over time.
Assessors mark the learners work on the assessment papers and mark schemes clearly indicating the marks awarded.
Clear and accurate assessment records are maintained.

A properly selected representative sample should identify any issues with assessment practices and decisions. To ensure that a sample is representative, the internal verifier must take into account all variable factors that may impact on the quality of assessment.

These factors, on the basis of which the verifier defines a sampling strategy, include:

- Delivery sites.
- Tutors/assessors.
- Different assessment themes.
- Level.
- Delivery methods.
- Borderline cases.
- Reasonable adjustments.
- Issues arising from previous verification.

The internal verifier should check the selected sample in three ways:

- All assessment for an individual learner – to ensure assessment is appropriate, consistent and complete.
- Specific tasks across a number of learners – to ensure that assessment is consistent for all learners.
- Level – to establish that standards are maintained across assessment papers and mark schemes, assessors and sites, and over time, and continue to reflect the requirements of the assessment mark schemes.

### 4.2 Awarding Achievement

**Entry Level**

The outcome of the Internal Verification process is the award of achievement for Entry Level assessments and Level 1 and 2 Speaking, Listening and Communication to learners. NOCN supports two ways in which achievement at Entry level can be awarded to learners; through the role of the External Verifier, or through Direct Claims status.
Recommendation for Award of Achievement: Role of External Verifier

In cases where there is no Approved Lead Assessor, and for all new Centres, you will need to arrange for an external verification visit through NOCN.

This will normally be by NOCN’s appointed External Verifier for the Centre or, possibly in particular cases, by a External Verifier who is a subject specialist.

The person from NOCN who is carrying this out may need, amongst other things, to:

- Sample the assessment strategy and the assessment evidence provided by the learners.
- In the case of qualifications confirm that all elements of the qualification assessment requirements have been met in order to verify the award.
- Check that a robust internal moderation has taken place and ensure that any outcomes of this process are included in a quality improvement cycle.
- Support the development of the provision by making recommendations for improvement and highlighting good practice in the curriculum area.
- Ensure that any recommendations for improvement or particular good practice identified are incorporated into the Quality Improvement Plan.

Level 1 and 2 Speaking, Listening and Communication

All Level 1 and 2 assessments, with the exception of Speaking, Listening and Communication are externally marked. All Speaking, Listening and Communication assessment record sheets and learner evidence must be held in the centre for verification once IV has taken place in the Centre. Centres have immediate direct claims status for Level 1 and 2 Speaking, Listening and Communication ONLY (see section 4.3 below for more information on this).

4.3 Direct Claims Status

If a Centre already has an Approved Internal Verifier (AIV) for Sector 14, this person will not automatically be able to sign off Recommendation of Award of Credits (RACs) for Functional Skills. The Centre may still attain Direct Claims Status (DCS) through the process outlined here.

Entry Level

Centres may have Direct Claims Status (DCS) for all Entry level provision after two clear External Verification visits. However, even when DCS has been
attained, all assessments must be retained until after the next External Verification visit and then may be required to be sent to NOCN for monitoring and standardisation purposes.

**Level 1 and 2 Speaking, Listening and Communication**

Centres will normally have Direct Claims Status (DCS) for Level 1 and 2 Speaking, Listening and Communication ONLY as soon as they are approved to run the Functional English qualification. This will be confirmed as part of the approval process. The Recommendation of Award of Credit (RAC) may be signed off by the Functional Skills Centre Contact. Once a Centre has Direct Claims status for English, specific peoples will be approved to sign off the RAC.

A minimum of 10% of Speaking, Listening and Communication assessments across all levels and assessors must be directly observed by an internal verifier alongside the Functional Skills English tutor to check the assessment processes and to confirm the assessment decisions. The written record of the observation must be completed at this stage.

Once the assessment records are complete and the work has been internally verified, the RAC should be sent to NOCN.

The Speaking, Listening and Communication assessment records and IV observation records must be made available at the next external verification visit. A short report will be sent to NOCN if there are any issues. If these issues (or other new problems) arise at the next EV visit, the Centre will not be able to claim any further Level 1 and 2 Speaking, Listening and Communication assessments until after a successful EV visit.

**Withdrawal of Direct Claims**

Where there is evidence that the required standards have not been met, NOCN may decide to withdraw DCS and/or the approved status of an individual to sign off RACs.

**4.5 Centre Quality Review**

**Quality Monitoring of a New Centre**

Once recognised as a Centre, NOCN will allocate a External Verifier. The External Verifier will have ongoing responsibility for monitoring your Centre’s compliance with the requirements of Centre Recognised Status.
Initial Quality Review Visit

Following Centre Recognition the External Verifier will contact your Centre to arrange their initial visit. The focus of this visit will be to monitor any areas identified for development in the initial risk assessment process. The External Verifier will communicate in writing to you what these areas will be.

You should prepare for the visit by collecting together all the evidence of further development against the identified priorities to show the progress that has been made since Centre recognition. This will almost certainly have included a commitment to attendance at introductory training offered by NOCN for key identified personnel.

Quality Improvement Plan

Following the initial quality review visit a Quality Improvement Plan will be drawn up by the External Verifier. This will identify any areas for improvement that NOCN requires the Centre to address with allocated responsibility and target dates for completion being clearly identified. External Verifiers will also support the development of the Centre through further developing the training plan.

Continuous Quality Improvement of New Centres

External Verifiers will make regular visits to all Centres. During these visits he/she will:

- Monitor the Centre’s compliance with the Centre Recognition agreement by reviewing course documentation, meeting managers, tutors, internal moderators, learners and administrative staff.
- Identify any staff development needs.
- Through an audit trail ensure that all procedures are being complied with, and that the award of achievement of components/qualifications to learners is secure.
- Authorise Approved Lead Assessors to sign off the award of achievement as appropriate (ALAs).
- Monitor the work of ALAs to ensure that the award of achievement is secure.
- Report to NOCN on all visits/meetings and update the Quality Improvement Plan.
A summative report of a Centre’s progress against the plan will be produced as required and this may form the basis of a further risk assessment of the Centre. Centres are encouraged to strive for continuous quality improvement and to develop the skills and experience of staff through appropriate training and CPD.

Where a Centre is demonstrating a robust internal quality system the frequency of review visits will decrease. Where a Centre is giving cause for concern additional visits may be deemed necessary and NOCN may impose additional charges. In cases where a Centre is giving serious cause for concern sanctions may be imposed leading to the ultimate withdrawal of Centre Recognition.

4.6 Standardisation

Centres are required to contribute to national standardisation as requested by NOCN and also to carry out appropriate internal standardisation.

Internal standardisation involves ensuring that, where there is more than one tutor/assessor delivering NOCN provision or more than one site, the outcomes of internal assessment are consistent across the range of courses. It is recommended that internal standardisation meetings include all tutors and internal verifiers concerned and that action plans are produced and followed up. NOCN External Verifiers will ask to see evidence of internal standardisation activity and of how the Centre identifies and disseminates good practice.

Internal standardisation provides:

- Evidence of consistency and a common understanding of the application of the mark schemes and level.
- Opportunities for staff to share good practice in assessment, including providing feedback to learners and record keeping.
- Opportunities for self assessment and action planning towards quality improvement.

National Standardisation

NOCN will hold yearly national standardisation events for Entry level Functional Skills qualifications and also for Level 1 and 2 Speaking, Listening and Communication assessments.
Samples of learner evidence of achievement must be made available for national standardisation as required. External Verifiers will represent the regions at these events.

4.7 Retaining Evidence

Centre Evidence

Centres must keep complete and accurate records, for at least three years from the end of year to which they relate, for all qualifications and make these available to NOCN on request.

Centres are required to retain the following records:

- Name of learner, date of birth and contact address.
- Title and accreditation number of each qualification studied.
- Name(s) of assessor(s).
- Assessment records, including assessment decision and reason for decision.
- Name(s) of internal verifier(s).
- Internal Verification reports.

Evidence for standardisation

Centre standardisation events will consider evidence produced in the last year for Entry level and Level 1 and 2 Speaking, Listening and Communication - minimum three from every/tutor assessor, representing the full range of provision.

For national standardisation events External Verifiers are responsible for identifying and collecting evidence from Centres.

Standardisation sample must include:

- Mark schemes
- Assessment Records.
- IV records
- Learner’s Work.
- Tutor Feedback
- IV observation reports
5. Registration and Awards

5.1 Registering Learners

In order to register learners all Centres must have received NOCN Centre Recognition status and completed qualification approval for Functional Skills through NOCN.

With the introduction of the Unique Learner Number and the Personal Learning Record, within the QCF Framework, it is now a requirement for centres to inform learners that their achievement data will be uploaded to the Personal Learning Record. Centres are able to include information from Learning Records Service’s Privacy Notice in their own Privacy notice, which is included below:

Some of the information you supply will be used by the Skills Funding Agency to fulfill its statutory functions, issue/verify your Unique Learner Number (ULN) and update/check your Personal Learning Record. The Skills Funding Agency may share your ULN and Personal Learning Record with other education related organisations, such as your careers service, school, college, university, Government Departments and public bodies responsible for funding your education. Further details of how your information is processed and shared can be found at www.learningrecordsservice.org.uk/privacynotice

NOCN requires centres to include the above information in their registration documentation to make sure learners are aware of how their data will be processed and shared.

Learner Registration

Centres will register learners using Quartzweb. If centres are unable to use Quartzweb they can request to use submit registrations using either a secure portal or by post to NOCN at functionalskills@nocn.org.uk

Level 1 and 2 Registrations

The registrations must be submitted to NOCN no fewer than 5 working days before the date of assessment.
Entry Level Registrations

For short courses (less than 15 weeks’ duration) learners should be registered within 25 working days of the start date of the course. For all other courses, learners should be registered within 60 working days of the start date. If you have any problems complying with these arrangements please contact NOCN to discuss this. A late registration fee may be charged.

Late Registrations

If your learner registrations are going to be outside of the agreed timescales please contact NOCN before submitting the registrations. Failure to do so could result in a delay in registration.

Use of the registration information

NOCN will enter learners onto our database from your completed Functional Skills Learner Registration and Assessment Paper Order Form and Functional Skills Entry Level Registration form.

The information on the form will be used to generate:

- An invoice, which will be sent to your Finance Contact. This will be according to the National Charging Structure.
- Recommendation for the Award of Credit forms (RAC) will be generated in Quartzweb for entry level assessments, or Speaking, Listening and Communication at levels 1 and 2 and an email confirming the registrations have been processed by NOCN will be sent to the Centre Administration Contact.

The Centre must make learners aware that their information will be passed to NOCN for registration purposes.

Amending Course Runs

Please notify NOCN in writing of any changes to learner details e.g. withdrawal of learners or registration of additional learners. It is anticipated that because the learners may be registered 5 working days before the assessment date at Level 1 and 2, the number of transfers at this level will be minimal.
Quartz Web (interactive registration system)

Connecting and Logging On for All Levels

You will need to open your web browser (Internet Explorer), and navigate to: https://portal.nocn.org.uk/

In order for you to log in you need to have a user name address and a password set up in the Quartz system by NOCN. You will have also been appointed as a contact for your organisation with a role of centre administrator. If you need to be set up as a registered user then contact NOCN at functionalskills@nocn.org.uk

Select “Log In”. On your first use you will need to read the terms and conditions. Once you have read and agreed select that you agree to the terms and conditions. You will then need to enter your username and password and select “Login”

Forgotten password?

If you have forgotten your password then click on the “Forgotten your password?” link and you will be taken to the reset password page. There you enter your QuartzWeb username and click ‘Submit’. An e-mail containing a new password will be sent to you shortly.

The Homepage

The first page you will see is the Quartz web home page. This gives various pieces of information about your organisation.
Changing Role
If you have more than one role (e.g. you are a tutor or instructor at more than one centre) then you may need to switch from one role to another.
To do this, pick the role you want to work with from the drop down at the top of the screen, and click the ‘Switch Role’ button

My Details
Click on the “My Details” menu item to view information about you as a user.

Password Change
To change your password click on the “Change Password” link and you will be taken to the following page.

Complete the relevant field and select “Change Password”. Your password will have changed and next time you log in you will need to use the new one.
Viewing Runs
Click on the Review Runs menu item to view your centre course runs

If you want to view a previous run un-tick the box under “Current”

To view the class details click on the run ID or the run description link.
To view the achievement history for a specific candidate/learner with your organisation, click on the learner’s surname link. This will display all units and qualifications achieved by that learner with NOCN in the context of your organisation.
Submitting Learner/Candidate Registrations

To submit learner registrations select “ERegistrations Submission”.

The first time you submit learner registrations you will need to download the learner registration form template by clicking on the “Click Here” link under ‘Standard ERegistration' submission form (as an Excel file) at the bottom of this page. This is where the learner’s information will be documented.

ERregistrations File Format

Click Here for a ‘Standard ERegistration’ submission form (as an Excel file).

ERegistration files can be accepted in a variety of formats.
Click Here for full details of the file formats available and associated coding conventions (in a Word document).

All fields on this document will need to be completed as per the below:

Provider Reference (if applicable)

If you have a unique learner reference that is used within your centre enter the details next to the learner.

ULN
This is the unique learner number which is given to the learner through the Learner Register which is operated through the Learning Records Service. The Learner Register is an internet based facility capable of providing a Unique Learner Number for every person in education and training aged 14 and over. This allows people to build a lifelong record of their learning participation and achievements (through their Learner Record). Further information on the ULN can be found at [www.learningrecordsservice.org.uk](http://www.learningrecordsservice.org.uk).

For learners who are undertaking Foundation Learning, taking the Functional Skills qualification as part of a Diploma or as part of an Apprenticeship, ULNs are mandatory. Where a registration is received without a ULN for a learner from any one of the three categories above their achievement cannot be uploaded to the Diploma Aggregation Service.

**Surname/Forename**

This information should be clearly printed. The name(s) given on this form will be the name that appears on the certificate. It is the centre’s responsibility to make sure this is accurate.

**Date of Birth**

This information is mandatory.

**Postcode**

This information is mandatory.

**Gender/Ethnicity** (Centres should make every effort to include the appropriate ethnicity code for each candidate)/**Employment Status/Learner Support Status/Provider Reference**

This information is collected for monitoring and statistical purposes only. This information is treated as confidential and will not be available to anyone outside NOCN. Please use the codes provided with the Learner Registration form when completing the LRF.

You will need to save this document and attach it when all other details have been entered on the ERegistration submission page.
ERegistration submission page:

**PLEASE NOTE** - Level 1 and 2 English components are registered separately.

**The Course of Learning** - Select the relevant Functional Skills course from the drop down menu. Only courses you are approved to deliver will be displayed (you will be able to see units attached to the course by clicking on the book icon)

**PLEASE NOTE** – If the required course is not displayed in the drop down list you will need to contact NOCN

**The Qualification (if relevant)** - Select the relevant Functional Skills qualification from the drop down.

**Run Description**
*Level 1 and 2 (not English Speaking and Listening)* - Enter the time of the assessment.
*Entry Level and L1 and 2 English Speaking and Listening* – Not required.

**Start Date**
*Level 1 and 2 (not English Speaking and Listening)* - Enter the date of the assessment.
*Entry Level and L1 and 2 English Speaking and Listening* - The start date entered must be your confirmed start date for the course. If the course has multiple runs (for example, will run three times a year with different groups of learners) a separate registration must be made for each course. You must check that learners are registered prior to the qualification accreditation end date (see Qualification Specification for information).

**End Date**
*Level 1 and 2 (not English Speaking and Listening)* – Enter the date of the assessment.
*Entry Level and L1 and 2 English Speaking and Listening* - The end date given must be the final end date of the course.

**Provider Reference**
This is optional and can be used by the centre to identify this batch of learners.
Purchase Order Number
If you require a purchase order number to be quoted on your invoice please provide this here.

This Site
Level 1 and 2 – Select from the drop down the venue where the assessment is taking place (if this is not available please contact NOCN).
Entry Level, L1 and 2 English Speaking and Listening – Select from the drop down the venue where the training is taking place (if this is not available please contact NOCN).

Tutor
Level 1 and 2 – Please select the tutor for the group of learners (if this is not displayed please contact NOCN).
Entry Level - Please select the tutor who will be delivering the training. If the relevant tutor name is not present (if this is not displayed please contact NOCN).

The Internal Verifier - Optional
Please select the Internal Verifier who will be verifying the achievement.

The Verifier (soon to state The Lead Internal Verifier) - Optional
If you have direct claims for the course/Qualification then the Lead Internal Verifier will be available in the drop down. If there are no names in the drop down the centre does not have Direct Claims for the selected course/Qualification. If you do not select a name then the External Verifier associated with the course/Qualification will be responsible for signing the Recommendation for the Award of Credit, where applicable.

ICV
This is not required for Functional Skills registrations.

Notes
Level 1 and 2 - Please state the name of the person who will be responsible for your papers when they are delivered and how they will be stored. Also if there are any resits please state which learners are doing resits.

Entry Level – This is optional and can be used to state any additional information.
Once you have completed a learner registration form click on the “Browse” button to choose a file of learners which you wish to submit and the click on the “Upload” button.

**For Level 1 and 2** – You will not be able to select a paper.

**Entry Level** – Please select the paper/s that your learners are being registered against (you do not need to do this straight away and can return to do this at a later stage).

**To select the papers for Entry Level only:**
Select search and all the units within the course will be displayed:

Select the paper/s you want to register by selecting the “add unit” icon next to the relevant paper:
Enter the relevant Unit information and select “search”, or by selecting “search with no details entered all Units within the course will appear.

Select the Units by selecting the book icon at the right side of the screen.

The paper will then appear at the top of the screen. Only the papers selected will appear on the Recommendation for the Award of Credit (RAC).

Once you have added the relevant papers the information will automatically be uploaded to NOCN. A confirmation email will be sent to confirm it has been sent to NOCN.

Select “Back to run” when all papers have been selected.

When NOCN has processed the registrations you will receive an email to confirm the registration has been processed. This confirms that the exam papers will be available to download for Level 1 and 2 or the Recommendation for the Award of credit is available for you to download for Entry Level and Level 1 and 2 English Speaking and Listening.
For Level 1 and 2 (except English Speaking and Listening)

The exam papers will be accessed through Quartzweb and will be available for you to download 2 days before the assessment date, along with the “Assessment Front Cover sheet”, which confirms the details of the papers (dates of assessments, learner details) and identifies which assessment papers are for which learners, as there might be different papers for different learners. The invigilator needs to complete their details and also the section on the number of papers used and unused. This will then be returned with the papers to NOCN (the address will be on the document).

To access the papers:

Follow the above steps to open Quartzweb.

Select “Documents” and click the drop down menu on “Document Type” under “View Document”.

Select “Run documentation” and click “Search”.

The Functional Skills assessment front cover sheet for the exam will be displayed. Click on the document, open and check that this is for the relevant registrations. If correct then print the document.
Next select “Examination Paper” and click “Search”. The relevant exam paper will be displayed. Click on the exam paper, open with the password and check that the exam paper matches the exam paper listed on the “Functional Skills assessment front cover sheet”. If correct then print the document.

Please note: the papers will be available from 2 days before the assessment and will expire on the day of the assessment.

Important things to remember:

- You must download the paper and the cover sheet to go with the paper at the same time.
- For ICT Level 1 and 2 there are two separate papers and both must be downloaded – a Part A and a Part B.
- Printed papers must be put into a sealed envelope which must be opened in the assessment room at the beginning of the assessment in front of the learners.

Any papers which have not been used must be stored securely and must NOT be used as practice material or distributed in any way. When the centre requires the paper again any spare assessments printed should be used up first before printing any additional papers.
For Level 1 and 2 English Speaking and Listening

When you receive the confirmation email, to state that NOCN have processed the registrations, it indicates that the Recommendation for the Award of Credit (RAC) is available to download from Quartzweb.

To access the document log in to Quartzweb.

Select “Review Runs”

To obtain the details about the course run click on the relevant run ID.

Select the “ERAC Submission form” option.
You will either see three options or just the option to select “Matrix Submission Form” – this is the document you require:

You will be prompted either to “Open” (with Microsoft Excel) or “Save” the Recommendation for the Award of Credit (RAC). We recommend that you either “Open” and then immediately save the RAC to an appropriate folder on your organisation’s network, or save directly to such a location (and then open the Excel sheet from there).

Refer to section 5.3 on how to complete the RAC.

The Level 1 and Level 2 Speaking and Listening assessments will be accessed from the NOCN website. All papers are available at all times for you to access, as it is the centre who decides which papers the learner will sit. To access the papers you will need to log onto the NOCN website: Enter www.nocn.org.uk

You will have been sent a different username and password for the secure portal. Enter these details in the below fields and select “Logon”: 
To access your papers you will need to select:
“Learning Providers/Functional Skills/NOCN Functional Skills Live External Assessments”

You can then download the papers you require.

Entry Level Qualifications

When you receive the confirmation email, to state that NOCN have processed the registrations, it indicates that the Recommendation for the Award of Credit (RAC) is available to download from Quartzweb.

To access the document log in to Quartzweb.

Select “Review Runs”
To obtain the details about the course run click on the relevant run ID.

If you have not already selected the papers the learners have completed select “Run unit Registrations”.

Select “Search” and all the papers will be displayed:
Select the paper/s the learners have completed by selecting the “Add Unit” icon next to the relevant paper:

When the paper has been registered on the run it will appear in the top half of the screen:
Once you have completed select “Back to Run”

Select the “ERAC Submission form” option.

You will either see three options or just the option to select “Matrix Submission Form” – this is the document you require:

You will be prompted either to “Open” (with Microsoft Excel) or “Save” the Recommendation for the Award of Credit (RAC). We recommend that you either “Open” and then immediately save the RAC to an appropriate folder on your organisation’s network, or save directly to such a location (and then open the Excel sheet from there).

Refer to section 5.3 on how to complete the RAC.

The Entry Level papers can be accessed from the NOCN website. All papers are available at all times for you to access. To access the papers you will need to log onto the NOCN website:
Enter www.nocn.org.uk

You will have been sent a different username and password for the secure portal. Enter these details in the below fields and select “Logon”:

To access your papers you will need to select:
“Learning Providers/Functional Skills/NOCN Functional Skills Live External Assessments”
5.2 Exemptions from English components or transfer of credit from another awarding organization

Under exceptional circumstances, learners with specific disabilities may be totally exempt from one or two of the Functional English components. Further guidance may be found within the Functional English Qualification Specifications. If a centre believes that a learner should be exempt from one or two of the components, the NQ12 Reasonable Adjustments form (Appendix A) should be completed and submitted to NOCN. The Functional English Qualification Specifications specify the type of support allowed for the components and the Entry Level mark schemes indicate the amount of support the tutor may give to the learner as part of the assessment.

If a learner has completed one or two English components with other awarding organisations, this achievement may be acknowledged by NOCN. The Centre must complete the Application for the Transfer of Functional Skills English Components, in Exceptional Circumstances, Between Awarding Organisations form (Appendix F) and sent to NOCN. No extra evidence is required from either the centre or the learner. NOCN will then contact the other awarding organisation(s) to confirm the achievement and will record the achievement.

NB – even when the learner has already achieved one or two of the components with another awarding organisation, the learner should still be entered for the component(s) on the Functional Skills Learner Registration Form and Assessment Paper Booking Form.

5.3 Recommendation for the Award of Credit (RAC)

Further information on the assessment and quality assurance processes leading up to the recommendation for the award of credit can be found in Section 4.

The Recommendation for Award of Credit (RAC) form contains details of either:

- Speaking, Listening and Communication assessment components at level 1 and 2.
- Entry level assessments for the subject the learners were registered against.

The RAC will be provided by NOCN once learners have been registered.
The RAC should be signed by the Tutor, Internal Verifier (IV), and the External Verifier (EV), except in Centres which have direct claims status when RACs will be accepted without an EV signature.

Your Administration Contact will be expected to:

- Receive RACs.
- Distribute to relevant tutors for completion.
- Receive completed forms from tutors, ensuring that the Internal Verifier/External Verifier (named on the RAC) has confirmed achievement.
- Check the RAC form is fully completed.
- Retain copies of the RACs.
- Return the RAC to NOCN as soon as possible following verification.
- RACs must be returned to NOCN within 12 weeks of the end date of the course.
- Level 1 and 2 Speaking, Listening and Communication RACs should be returned to NOCN after internal verification has taken place.

**Guidance on completing the RAC**

**Pre-printed information**

Pre-printed information should not be amended except for spelling mistakes. In no circumstances should unit information be amended on this form. Please contact NOCN should any of the pre-printed information be inaccurate (except spelling mistakes, which should be amended on the RAC form and initialed by the IV).

**Learner Name**

Please check that all learners are listed on the RAC and names are spelt correctly. Any amendments to names should be corrected on the RAC form to avoid inaccuracies appearing on learners’ certificates.
Recommending Achievement

Tutors are responsible for ensuring that the RAC is completed. Achievement must only be recommended when a learner has achieved the summative assessment for the qualification or the English component. This is done by placing a tick against each learner and the unit they have achieved.

Internal Verifier/External Verifier signature

If the centre has Direct Claims Status, then named people will be able to authorise the Award of Achievement. If you do not have Direct Claims Status for the course then the award of achievement must be authorised by an External Verifier. Once it has been signed off, it can then be submitted to NOCN.

The Internal Verifier/External Verifier whose name appears on the RAC must sign the RAC to verify the achievement of the summative assessment. This must be an original signature to ensure the process of awarding achievement is reliable and robust. Photocopies or faxes cannot be accepted.

The Internal Verifier/External Verifier must initial any changes/additions made to the RAC (except corrections to spelling of learner names).

For Level 1 and 2 Speaking, Listening and Communication, the Functional Skills Coordinator may sign the RAC when the assessment has taken place. (The centre DOES NOT need to have full Direct Claims Status for this to happen). The RAC must be sent to NOCN.

All the assessment records, learners’ notes for each of the learners and IV observation records for a minimum of 10% of assessments must be retained for the next EV visit. In addition to the 10% of assessments being observed, the centre should sample a further 10-25% of completed assessment record sheets for moderation purposes.

The EV will check the assessment records at the next EV visit. If there are issues, NOCN will be informed. If there are still issues at the next claim, the Centre will have their DCS for Functional Skills withdrawn and the centre will have to await an EV visit. They will then need to have two clear EV reports before they may regain DCS for Level 1 and 2 Speaking, Listening and Communication.
5.4 Issuing Certificates

NOCN will issue certificates for learners who have successfully completed qualification(s) within 35 working days of receipt of completed RAC form for Entry Level assessments or the date that the results of Level One and Two assessments are released to centres. This will show the qualification title(s) and level achieved by the learner.

If a learner has achieved only one or two English components rather than the full Functional Skills English qualification, learners will not normally be issued with a component certificate. These must be specifically requested from NOCN by the Centre.

All certificates will be forwarded to your Centre, via a secure route (courier, recorded delivery or by hand), for the attention of the specified contact for distribution to learners.

Qualification Certificates

In circumstances where a learner is being recommended for an Entry level Functional Skills qualification it is essential that the Tutor, Internal Verifier, and External Verifier, where appropriate, confirm that all assessment tasks required to achieve the qualification have been successfully completed, to the required standard.

The Centre should confirm to NOCN that this is the case using the paperwork appropriate to the qualification. Please consult NOCN if you require assistance with this.

Learners who achieve all components within a qualification and meet the criteria for successful completion of a qualification will be awarded a qualification certificate within 35 working days of receipt of the completed documentation.

Re-issue of Certificates

Requests for a certificate to be re-issued or replaced must be made in writing to NOCN.
6. **Fees and Charges**

NOCN publishes their charges annually.

A copy of the fees and charges is available from NOCN. Please contact them for more details or look on the NOCN website.

7. **Centre Recognition Policies: Guidance**

The NOCN Centre Recognition requires that Centres have in place the following policies and procedures, to support the Centre’s quality systems:

- Access to Fair Assessment Statement.
- Appeals procedure for candidates.
- Complaints procedure.
- Disability Discrimination policy.
- Equal Opportunities and Diversity policy.
- Health and Safety policy.
- Internal Verification policy.
- Malpractice procedure.
- Policy on checking for criminal records.

This guidance has been produced to assist Centres to develop the required policies and procedures. The guidance sets the expectation of what the policy or procedure should contain. However it is the responsibility of the Centre to develop the content of policies and procedures that reflect their operating circumstance and extent of curriculum offer.

*Model policies have not been produced as they cannot include every Centre’s operating circumstances.*

Additional support can be provided to the development of the policies and procedures by NOCN staff.

It is the Centre’s responsibility to ensure that:

- Policies and procedures are appropriate to the size and curriculum offer of the Centre.
- Policies and procedures are communicated to all staff and supported by the Centre management structure.
A system is in place for regular review and evaluation of Centre policies and procedures.
There is compliance to NOCN’s published policies and procedures.

7.1 Access to Fair Assessment Statement

Scope

Fair assessment is the process by which assessments within Qualifications can be designed to give all candidates the fairest possible opportunities to show attainment.

The groups which need to be included

In the context of externally accredited provision the policy will need to make reference to the following groups:

- Learners.
- Tutor/Assessors.
- Internal Verifiers.
- Awarding body personnel.

The principles

The policy will need to make reference to the following types of NOCN provision where applicable:

- NOCN nationally accredited Qualifications.
- NOCN nationally accredited Qualifications with External Assessment.
- Internally devised assessment.

In designing an assessment strategy and/or individual assessment tasks the following principles will need to be included:

- Reliability.
- Validity.
- Fitness for purpose.
- Transparency.
- Recognises and respects equality and diversity.
Sources of further information

**NOCN**

- NOCN Qualification Specifications
- NOCN Centre Handbook
- Assessment definitions
- NOCN Reasonable Adjustments and Special Considerations Policy

Website: [www.nocn.org.uk](http://www.nocn.org.uk)

**Ofqual**

Provides guidance for awarding bodies on ensuring that fair assessment is built into their qualifications. For internally assessed qualifications assessors should ensure that they are aware of the principles.

See Fair Access by Design

### 7.2 Appeals procedure for candidates

**Scope**

An appeal is a procedure through which a Centre may be challenged on the outcome of an enquiry about results or, where appropriate, other procedural decisions affecting an individual candidate.

A complaint is where a criticism of the services a Centre provides is received, when a reply is expected and there is an expectation that things need changing.

**The groups which need to be included**

The procedure will only cover candidates.

**The principles**

In developing a Centre Appeals procedure, the following principles should be addressed:

- Format of the submission of the Appeal (this would normally be written).
• Assessment outcome appeals will investigate the procedures followed and will not include a review of learners’ work.
• Retention of learner documentation during Appeal procedure.
• Expected timescales for responding to learners.
• The stages in the procedure clearly set out.
• Learner to refer to third party in case of unresolved Appeals e.g. Awarding Body Appeals policy and procedures.

Sources of further information

NOCN

• NOCN Enquiries, Appeals and Complaints Policy: Procedures for Dealing with Enquiries about Results for NOCN Qualifications
• NOCN Enquiries, Appeals and Complaints Policy: NOCN Arrangements for Considering Appeals and Complaints concerning NOCN Qualifications and Units of NOCN Qualifications

Website: www.nocn.org.uk
7.3 Complaints procedure

Scope

A complaint is where a criticism of the services a Centre provides is received, when a reply is expected and there is an expectation that things need changing.

An appeal is a procedure through which a Centre may be challenged on the outcome of an enquiry about results or, where appropriate, other procedural decisions affecting an individual candidate.

The groups which need to be included

The procedure will cover:

- Learners.
- Learners’ relatives.
- Centre staff.
- Employers.

The principles

The following principles should be incorporated into a Centre’s Complaints procedure:

- Responsibility within the Centre.
- How Complaints should be submitted.
- How the Complaint should be set out.
- Timescale for the Complaint.
- Set out the Stages of the procedure, for example three stages:
  - To staff directly involved.
  - Formal investigation.
  - Third party appeal.

- Response timescales.
- Outcomes of the complaint e.g. upheld or not.
Sources of further information

NOCN

- NOCN Enquiries, Appeals and Complaints Policy: Procedures for Dealing with Enquiries about Results for NOCN Qualifications
- NOCN Enquiries, Appeals and Complaints Policy: NOCN Arrangements for Considering Appeals and Complaints concerning NOCN Qualifications and Units of NOCN Qualifications

Website: www.nocn.org.uk

7.4 Disability Discrimination Policy

Scope

The Disability Discrimination Act, 1995, makes it illegal to discriminate against disabled persons who fall under the definition of the Act and that they are treated fairly and equally. The Act places specific emphasis upon disabled persons within educational establishments.

The groups which need to be included

The policy will need to address all groups and prospective groups which may be in contact with the Centre. It is the Centre’s responsibility to identify the appropriate groups.

The principles

A Centre’s Disability and Discrimination policy will need to set out the arrangements and management structure that will operate to ensure that it meets its responsibilities as set out in the Disability Discrimination Act, 1995.

Sources of further information

Department for Work and Pensions

The Department for Work and Pensions provides guidance to employers on meeting their responsibilities in respect of the Disability Discrimination Act, 1995.

Publication: Adjusting for Better Business.
7.5 Equal Opportunities and Diversity policy

Scope

An Equal Opportunities and Diversity policy:

- States your values on equality and diversity (fairness) and how they will be put into practice.
- Shows your learners, staff, potential recruits and customers that you are serious about fairness and helps them understand:
  - What behaviour you expect and what is not acceptable;
  - What they can expect of you.
- Helps win business. Public sector and other large organisations may take equality policies into account when awarding contracts.
- Underpins your action plan.
- Helps you comply with the law.

The groups which need to be included

The policy will need to address all groups and prospective groups which may be in contact with the Centre. It is the Centre’s responsibility to identify the appropriate groups.

The principles

The Centre policy should relate to your organisation’s size and make-up and the nature of your business. The opening section of your policy should contain:

- A statement of your aim to encourage, value and manage diversity.
- Your commitment to providing equality for all.
- Your wish to attain a workforce that is representative of the communities from which it is drawn.

You should then identify the areas of discrimination that you will counter, usually:

- Gender (including sex, marriage, gender re-assignment).
- Race (including ethnic origin, colour, nationality and national origin).
- Disability.
- Sexual orientation.
- Religion or belief.
- Age.

All of these are covered by law; there may be other categories that are relevant to your organisation or local circumstances.

**Sources of further information**

**Equality and Human Rights Commission**

Website: [www.equalityhumanrights.com](http://www.equalityhumanrights.com)

**ACAS**

Provides advice and guidance to employers to meet their legal responsibilities in respect of the law.

Website: [www.acas.org.uk](http://www.acas.org.uk)

### 7.6 Health and Safety policy

**Background**

The Health and Safety at Work etc. Act 1974 sets out that

“Except in such cases as may be prescribed, it shall be the duty of every employer to prepare and as often as may be appropriate revise a written statement of his general policy with respect to the health and safety at work of his employees and the organisation and arrangements for the time being in force for carrying out that policy, and to bring the statement and any revision of it to the notice of all his employees.”

**Sources of further information**

**Health and Safety Executive**

Provides guidance to employers to ensure that they meet their responsibilities in respect of Health and Safety at Work etc. Act, 1974.

Website: [www.hse.gov.uk](http://www.hse.gov.uk)
7.7 Internal Verification policy

Scope

An effective Internal Verification system ensures assessment practices and decisions are regularly reviewed and evaluated to ensure the validity of the award of credit.

The groups which need to be included

A Centre’s Internal Verification policy will need to cover:

- Learners.
- Tutors.
- Assessors.
- Internal Verifiers.
- Awarding body staff.

The principles

A Centre’s Internal Verification policy will set out the Centre’s arrangements and management structure to ensure its effectiveness. Areas to address include:

- Role of Internal Verifier.
- Model of Internal Verification.
- Planning Internal Verification.
- Sampling assessment.
- Centre standardisation.
- Record keeping.

Sources of further information

NOCN

- NOCN Centre Handbook provides guidance on Internal Verification systems.
7.8 Malpractice Procedure

Scope

Malpractice is defined as any deliberate activity, neglect, default or other practice that compromises the integrity of the assessment process, and/or the validity of certificates. Malpractice may include a range of issues from the failure to maintain appropriate records or systems to the deliberate falsification of records in order to claim certificates.

Failure to deal with identified issues may in itself constitute malpractice.

The groups which need to be included

The procedure to investigate cases of Suspected Malpractice must include the following groups within a Recognised Centre:

- Learner malpractice.
- Centre staff malpractice.

The principles

The fundamental principle of investigations is to conduct them in a fair, reasonable and legal manner, ensuring that all relevant evidence is considered without bias.

The process of investigation will be conducted in accordance with regard to:

- Confidentiality.
- Retention.
- Evidence storage.
- Conclusions reached.

Sources of further information

NOCN

- NOCN Centre Handbook
- NOCN Code of Practice Suspected Malpractice
Ofqual

Ofqual provides guidance to awarding bodies who find it necessary to investigate allegations of significant malpractice by those involved in the delivery of qualifications. The principles apply to all regulated qualifications.


7.9 Policy on checking criminal records

Background

The Criminal Records Bureau (CRB), an Executive Agency of the Home Office, provides wider access to criminal record information through its Disclosure service. This service enables organisations in the public, private and voluntary sectors to make safer recruitment decisions by identifying candidates who may be unsuitable for certain work, especially that involve children or vulnerable adults. The CRB was established under Part V of the Police Act 1997 and was launched in March 2002.

The groups which need to be included

In the context of NOCN accredited provision the policy will need to make reference to all types of Centre staff.

The principles

Centres, depending on their target learners, will need to consider the need for Criminal Records Bureau (CRB) disclosures depending whether individuals will be involved in working with children and adults.

The policy will need to set down the arrangements that the Centre intends to operate.

Sources of further information

Criminal Records Bureau

Further guidance can be obtained from the Criminal Records Bureau website at Website: www.crb.gov.uk.
8. Qualification Review

NOCN reviews its Qualifications through an Annual Quality and Standards Review and a Three Year Review of Qualifications. The process runs on all NOCN Qualifications depending on the life cycle of the qualifications.

Overall the review cycles aim to ensure that:

- decisions about the continued need for Qualifications are evidence-based,
- there is continuing compliance with the design features of the Functional Skills standards,
- Qualifications remain fit for purpose and can be assessed consistently and appropriately.
- where possible Equality and Inclusion Issues are addressed.

The Three Year Review cycle is designed to evaluate Qualifications approximately three years after accreditation so that informed proposals can be made about the future of the Qualifications prior to expiry. The three year period means that proposals are evidence-based, but leaves enough time for consultation with interested parties before action is taken.

The Annual Review is a quality and standards review, designed to ensure that Qualifications remain fit for purpose and that assessment is valid and reliable. Evidence to inform the review is gathered from the delivery, assessment and awarding of Qualifications and regional standardisation events.

Centres are invited to contribute to the Annual Review process so that NOCN is able to ensure that Qualifications remain fit for purpose and meet the requirements of the Functional Skills standards. If you have any feedback regarding the quality and standards of any of the NOCN Qualifications please contact NOCN to request the relevant Qualification Review documentation.
9. Glossary of Terminology

<table>
<thead>
<tr>
<th>Terms</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accreditation</td>
<td>Confirmation that learners evidence meets the assessment criteria.</td>
</tr>
<tr>
<td>Appeal</td>
<td>An appeal is a procedure through which an Awarding Body/Centre may be challenged on the outcome of an enquiry about results or, where appropriate, other procedural decisions affecting an individual learner.</td>
</tr>
<tr>
<td>Assessment</td>
<td>The process of making judgements about the extent to which a learner’s work meets the assessment criteria for a qualification or part of a qualification. Formative assessment provides feedback to learners to help improve their performance/achievement. Summative assessment takes place at the end of a defined period of learning.</td>
</tr>
<tr>
<td>Assessment evidence</td>
<td>Proof that the learner has achieved or is working towards the achievement of assessment criteria. Satisfactory evidence enables the Internal and External Verifier to confirm the achievement of the component or qualification.</td>
</tr>
<tr>
<td>Assessor</td>
<td>The person who assesses a learner’s work.</td>
</tr>
<tr>
<td>Awarding Body</td>
<td>An organisation that awards qualifications. An Awarding Body must meet the criteria laid down by the Qualifications Regulators e.g. Ofqual.</td>
</tr>
<tr>
<td>Benchmark assessment</td>
<td>Provides a set of tasks that should be used to assess the qualification. Tasks at Entry level and for Level 1 and 2 English Speaking, Listening and Communication can be contextualised following the guidance in the mark scheme or designed by the Centre, but these must use the benchmark assessments as a guide and must cover all the standards. New Centre devised Entry level assessments must be approved by NOCN 15 working days before the planned assessment date. New Centre devised Level 1 and 2 Speaking, Listening and Communication tasks do not need NOCN approval before use, but should follow the detailed guidance in the mark scheme and should be submitted to NOCN with the assessment records.</td>
</tr>
<tr>
<td>Centre recognition</td>
<td>A process through which a Centre wishing to offer accreditation is confirmed as being able to maintain the required quality and consistency of assessment and comply with other expectations of the Awarding Body.</td>
</tr>
<tr>
<td>Certification</td>
<td>The procedure by which NOCN recognises the award of Qualifications to learners and issues certificates and credit transfers.</td>
</tr>
<tr>
<td>Component</td>
<td>The smallest part of learning that can be achieved in its own right within Functional Skills. There are three components within English: Reading, Writing and Speaking, Listening and Communication.</td>
</tr>
</tbody>
</table>
### Terms Description

<table>
<thead>
<tr>
<th>Terms</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mathematics and ICT</td>
<td>Mathematics and ICT are single component qualifications.</td>
</tr>
<tr>
<td>Credit transfer</td>
<td>The process of using components of Functional Skills English awarded by one Awarding Organisation as achievement against NOCN Functional Skills English qualifications. The Application for the transfer of Functional Skills English components, in exceptional circumstances, between awarding organizations form should be used to apply for the transfer. The centre should submit this form to NOCN. No further evidence is required.</td>
</tr>
<tr>
<td>Curriculum plan</td>
<td>NOCN document that sets out to give an understanding and agreement regarding which Qualifications a Recognised Centre will be running, to give an indication of the business relationship with the Centre and inform the Quality Improvement Plan.</td>
</tr>
<tr>
<td>Direct claims status</td>
<td>Provides a Recognised Centre the ability to claim certification from NOCN directly. Status conferred on Recognised Centres who have ALAs and operate robust internal quality assurance systems.</td>
</tr>
<tr>
<td>E learning</td>
<td>Is a general term used to refer to computer enhanced learning. It is used interchangeably in so many contexts that it is critical to be clear what one means when one speaks of 'eLearning'. It is commonly associated with the field of advanced learning technology (ALT), which deals with both the technologies and associated methodologies in learning using networked and/or multimedia technologies.</td>
</tr>
<tr>
<td>External assessment</td>
<td>A form of independent assessment, where assessment tasks are set (externally to the Centre) and a learner’s work is assessed by the Awarding Body. This can either be internally or externally marked depending on the qualification assessment specification.</td>
</tr>
<tr>
<td>Functional skills</td>
<td>Functional skills are the core elements of English, Mathematics and ICT, which provide the essential knowledge, skills and understanding needed to operate confidently, effectively and independently in life and at work.</td>
</tr>
<tr>
<td>Guided learning hours (GLH)</td>
<td>The number of hours of teacher-supervised or directed study time required to teach a qualification.</td>
</tr>
<tr>
<td>Information, advice and guidance (IAG)</td>
<td>Service provided to all individuals on appropriate job roles, career paths and development opportunities.</td>
</tr>
<tr>
<td>Internal verifier (IV)</td>
<td>An individual appointed by the Centre to ensure accurate and consistent standards of assessment, between assessors operating within a Centre.</td>
</tr>
<tr>
<td>Level</td>
<td>An indication of the relative demand, complexity and/or depth of achievement and/or the autonomy of the learner in demonstrating</td>
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<td>------------------</td>
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</tr>
<tr>
<td>Malpractice</td>
<td>Any deliberate activity, neglect, default or other practice that compromises the integrity of the assessment process, and/or the validity of certificates. Malpractice may include a range of issues from the failure to maintain appropriate records or systems to the deliberate falsification of records in order to claim certificates. Failure to deal with identified issues may in itself constitute malpractice.</td>
</tr>
<tr>
<td>National Module Code</td>
<td>NOCN assigned unique code for a Functional Mathematics or ICT Qualification or component of English.</td>
</tr>
<tr>
<td>National Qualifications Framework (NQF)</td>
<td>Defined by Ofqual it sets out the levels against which a qualification can be recognised in England, Wales and Northern Ireland. It helps learners make informed decisions about the qualifications they want to pursue, by comparing the levels of different qualifications and identifying different progression routes.</td>
</tr>
<tr>
<td>Policy</td>
<td>A policy provides the principles and system on which procedures can be built, it is fixed and concise. A policy reflects philosophy, values and fundamental aims. A policy tends to be established and agreed at a higher executive or managerial level.</td>
</tr>
<tr>
<td>Procedures</td>
<td>A set of step by step instructions to enable a task or job to be completed.</td>
</tr>
<tr>
<td>External Verifier (EV)</td>
<td>OCN role responsible for the quality auditing of Centres on behalf of NOCN.</td>
</tr>
<tr>
<td>Quality systems</td>
<td>An umbrella term that includes the key aspects of the way in which a Centre is operated.</td>
</tr>
<tr>
<td>Qualification Specifications</td>
<td>Published by NOCN, the Qualification Specifications set out the quality assurance arrangements for nationally accredited qualifications.</td>
</tr>
<tr>
<td>Recommendation for the Award of Credit (RAC)</td>
<td>NOCN form on which Centres indicate the achievement of their learners.</td>
</tr>
<tr>
<td>Recognised Centre</td>
<td>A process through which a Centre wishing to offer accreditation is confirmed as being able to maintain the required quality and consistency of assessment and comply with other expectations of the Awarding Body.</td>
</tr>
<tr>
<td>Sector</td>
<td>Defined by the Qualifications and Curriculum Authorities break down of sectors.</td>
</tr>
<tr>
<td>Standardisation</td>
<td>A process to ensure that the assessment criteria for a qualification, component or part of a component are applied consistently by assessors and verifiers. Standardisation is carried out within Centres as well as across Centres.</td>
</tr>
</tbody>
</table>
## Organisations involved

<table>
<thead>
<tr>
<th>Terms</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learning and Skills Improvement Agency (LSIS)</td>
<td>The Learning and Skills Improvement Service is the sector-owned body that aims to accelerate the drive for excellence in the learning and skills sector, building the sector’s own capacity to design, commission and deliver improvement and strategic change. <a href="http://www.lsis.org.uk">www.lsis.org.uk</a></td>
</tr>
<tr>
<td>National Open College Network (NOCN)</td>
<td>National recognised Awarding Body, offering wide range of accreditation credit based Units and Qualifications. <a href="http://www.nocn.org.uk">www.nocn.org.uk</a></td>
</tr>
<tr>
<td>Quality Assurance Agency (QAA)</td>
<td>An independent body funded from subscriptions from UK universities and colleges of higher education and through contracts with the main UK higher education funding bodies. <a href="http://www.qaa.ac.uk">www.qaa.ac.uk</a></td>
</tr>
<tr>
<td>Quality Improvement Agency (QIA)</td>
<td>Is a non-departmental public body and the successor to the Learning and Skills Development Agency (LSDA). Like the LSDA, it is a charity. Its role is to work across the learning and skills sector to improve performance. <a href="http://www.qia.org">www.qia.org</a></td>
</tr>
<tr>
<td>Sector Skills Councils (SSCs)</td>
<td>Are independent, employer-led, UK-wide wide organisations designed to build a skills system that is driven by employer demand. There are currently 23 SSCs covering over 90% of the economy and they all work towards the following four key goals: reduced skills gaps and shortages; improved productivity, business and public service performance; increased opportunities to boost the skills and productivity of everyone in the sector’s workforce; improved learning supply through National Occupational Standards, apprenticeships, and further and higher education.</td>
</tr>
<tr>
<td>Skills Funding Agency (SFA)</td>
<td>An agency of the Department for Business, Innovation and Skills with the job to fund and regulate adult further education and skills training in England. <a href="http://www.skillsfundingagency.bis.gov.uk">www.skillsfundingagency.bis.gov.uk</a></td>
</tr>
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Appendix A

<table>
<thead>
<tr>
<th>NOCN Centre Number:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Centre Name and Address:</td>
<td></td>
</tr>
<tr>
<td>Centre Officer responsible for this Qualification:</td>
<td></td>
</tr>
<tr>
<td>Position:</td>
<td></td>
</tr>
<tr>
<td>Tel:</td>
<td>E-mail:</td>
</tr>
</tbody>
</table>

Qualification Title(s) and Levels:

We agree to ensure that the specification and associated regulations for delivery of the above qualification will be adhered to...

We confirm that:

1. All Tutors and Assessors will have access to and be familiar with the NOCN Functional Skills Qualification Specification and Centre Handbook.

2. The resources and systems required to deliver and manage this qualification including staffing, internal verification and staff development, are available.

3. Learners will be registered in a timely fashion in line with NOCN requirements including the provision of Unique Learner Numbers for all learners using the relevant Functional Skills registration forms.

4. Any assessment tasks developed by a centre for any Entry Level qualifications will use the benchmark assessments as guidance and will be subject to NOCN standardisation. These must be submitted to NOCN for standardisation 15 working days before the scheduled date of use with learners. If a centre contextualises any Entry assessments or Level 1 or 2 Speaking, Listening and Communication assessment in line with the guidance in the mark schemes, there is no requirement to inform NOCN of the changes, but a copy of the contextualized assessment must be sent to the External Verifier before the External Verification visit. Centres do not need to submit centre devised Level 1 and 2 Speaking, Listening and Communication assessments to NOCN before use but should follow the guidance on the assessment mark scheme and the NOCN assessment record sheet must be used.

5. Internal assessment will be subject to robust internal verification and standardisation and adequate feedback to Assessors will be given.

6. The External Verifier will be given full access to relevant records and staff as required. This includes the NQ12/13 Application Record for Reasonable Adjustments for Entry level learners.

7. All Tutors/Assessors will ensure that learners:
   - Are aware of the requirements of the qualification and are provided with adequate assessment opportunities
   - Are given feedback (Entry Levels and Level 1 and 2 Speaking, Listening and Communication)
   - Are treated fairly in line with the Functional Skills access and inclusion statement

8. Internal verification will:
Appendix A

- Conform to any specific requirements for the qualification.
- Sample assessed internal tasks for each Assessor against the benchmarks and marking criteria for the benchmark.
- **For Entry Level Qualifications and Level 1 and 2 Speaking, Listening and Communication** sample externally set, internally marked tasks across all tutors.
- Check individual Assessor’s assessment records.
- Provide clear records of all internally verified assessments for external verification as required.
- Provide feedback to individual Assessors.
- **For Entry Level Qualifications and Level 1 and 2 Speaking, Listening and Communication** initial all sampled externally set, internally marked work and any appropriate assessment records.

9. For externally set and marked Level 1 and 2 assessments, centres will ensure that:
- the Functional Skills Learner Registration and Question Paper Order Form is received by NOCN no less than 5 working days before the date of the assessment.
- the security of all assessment papers will be maintained until the date and time of the assessment.
- the assessment will be conducted in line with the JCQ General, Vocational and Diploma Qualifications Instructions for conducting examinations and NOCN invigilation guidance.
- all used papers are returned to NOCN within 24 hours of the assessment date by secure delivery methods.
- NO externally marked assessment papers are photocopied, distributed, used as practice papers or stored by the Centre either before or after the assessment takes place
- all assessments are received by NOCN by the cut off date for the marking window.
- the password for the secure NOCN website is held securely at all times.

Please complete the box below and send the Combined NQ1 and NQ2 to NOCN.

<table>
<thead>
<tr>
<th>For Centre Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>I have read and agree to the above conditions in order to deliver this qualification.</td>
</tr>
<tr>
<td>Centre Officer Responsible for this qualification:</td>
</tr>
<tr>
<td>Name: (Print)</td>
</tr>
<tr>
<td>Position:</td>
</tr>
<tr>
<td>Date:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>For NOCN Use ONLY</th>
</tr>
</thead>
<tbody>
<tr>
<td>NOCN HAS APPROVED THIS CENTRE TO DELIVER THE NOCN QUALIFICATION</td>
</tr>
<tr>
<td>Confirmed approval with NOCN</td>
</tr>
<tr>
<td>Receipt Form NQ2 Received</td>
</tr>
<tr>
<td>Password or CD given</td>
</tr>
<tr>
<td>Official Stamp</td>
</tr>
<tr>
<td>NOCN Authorisation</td>
</tr>
<tr>
<td>Date documents sent:</td>
</tr>
</tbody>
</table>

Revised Aug 2012
The NOCN Functional Skills Learner Registration and Assessment Booking form Level 1 and 2 and the Functional Skills Entry level Learner Registration forms are available as Excel spreadsheets from NOCN.

The Level 1 and 2 forms should be returned to NOCN a minimum of 5 working days before the planned assessment date(s).
A reasonable adjustment is any action that helps to reduce the effect of a disability or difficulty that places the learner at a substantial disadvantage in the assessment situation. Reasonable adjustments must not affect the reliability and validity of assessment outcomes and must be as rigorous as assessment methods used with other learners.

Please read the Access to fair assessment policy and procedure prior to completing this form which is available on the NOCN website. The permissions table lists the most commonly requested adjustments to standard assessment arrangements. Reasonable adjustments permitted at the discretion of the centre should be agreed with the Internal Verifier and included in the sampling process for internal verification. For reasonable adjustments permitted at the discretion of the External Verifier please contact the EV directly for a decision. For all other reasonable adjustments please complete this form.

This form should be used by centres to apply for reasonable adjustments on behalf of each individual learner. Requests for Braille translations must be submitted at least 30 working days prior to the learner undertaking the assessment.

For Entry Level Functional Skills, the form should be retained in the centre until the external verification visit and must be made available on request.

For Level 1 and 2 Functional Skills, this form must be submitted to NOCN at the time of registration at the latest.

PLEASE KEEP A COPY OF THIS APPLICATION FOR AT LEAST 3 YEARS FROM THE END OF THE YEAR TO WHICH IT RELATES

Revised September 2011
### NQ12 form – Functional Skills

**Application for Reasonable adjustments**

<table>
<thead>
<tr>
<th>Centre Name:</th>
<th>Centre Number:</th>
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<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>Site Address:</th>
</tr>
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<tbody>
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</table>

<table>
<thead>
<tr>
<th>Date of assessment:</th>
<th>Time of assessment:</th>
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</table>

**Qualification (s) Title / Level**

<p>| |</p>
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</tbody>
</table>

**Name of learner(s) for whom application is made:**

<table>
<thead>
<tr>
<th>Full Name</th>
<th>Learner Registration No.</th>
<th>Post Code</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

**Reason for Application:**

<p>| |</p>
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</table>

**Reasonable adjustments required:**

<p>| |</p>
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</tbody>
</table>

**Supporting evidence (Must be made available on request):** This must include one or more of:

- the centre’s assessments of candidate’s / learner’s needs
**NQ12 form – Functional Skills**

**Application for Reasonable adjustments**

- history of provision within the centre
- medical certificate
- psychological or other professional assessment report.

**Please provide details of supporting evidence:**


**Please provide details of how the reliability and validity of the assessment will be maintained:**


**Declaration:** I confirm that:

- the information in the application is accurate;
- the centre will be able to provide the arrangements requested if the application is approved by NOCN.
- the reasonable adjustments will be implemented in accordance with the guidance given by NOCN.
- the Centre will not exceed the allowances given.

<table>
<thead>
<tr>
<th>Name:</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Signature:</td>
<td>Date:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Position in Centre:</th>
<th>Contact Number and E-mail address</th>
</tr>
</thead>
</table>

**For use by NOCN:**

<table>
<thead>
<tr>
<th>Application Received:</th>
<th>Application acknowledged:</th>
<th>Application agreed:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Further action:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
NQ13 – Functional Skills
Application for Special Consideration

NQ13 Form to apply for Special Consideration

Special consideration is a process that allows learners that suffer from temporary illness, injury or indisposition at the time of an assessment to demonstrate the achievement they are capable of for the assessments that are subject to special consideration.\(^1\)

Special consideration may be given following a scheduled assessment to a learner:

- who is present for the assessment but who may have been disadvantaged by temporary illness, injury or adverse circumstances which arose at or near the time of the assessment
- where alternative assessment arrangements which were agreed in advance of the assessment prove inappropriate or inadequate
- who misses part of the assessment due to circumstances outside their control.

A learner will NOT be eligible for special consideration if:

- no evidence is supplied by the centre that the learner has been affected at the time of the assessment by a particular condition
- any part of the assessment is missed due to personal arrangements including holidays or unauthorised absence
- preparation for the assessment is affected by difficulties during the course e.g. disturbances through building work, lack of proper facilities, changes in or shortages of staff or industrial disputes.

Centres should note that, where an assessment requires the learner to demonstrate practical competence, it may not be possible to apply special consideration. In addition in some circumstances, it may be more appropriate to offer the learner an opportunity to take the assessment at a later date rather than apply special considerations. Please consult the Access to fair assessment policy and procedure prior to completion of the form on the NOCN website.

This form should be used by centres to apply for special consideration on behalf of each individual learner or assessment. This application should be submitted to NOCN as soon as possible after the assessment and not later than seven working days after the assessment.

PLEASE RETAIN A COPY OF THIS FORM FOR AT LEAST 3 YEARS FROM THE END OF THE YEAR TO WHICH IT RELATES.

\(^1\) Regulatory arrangements for the Qualifications and Credit Framework August 2008
## Application for Special Consideration

<table>
<thead>
<tr>
<th>Centre Name:</th>
<th>Centre Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Site Address:</td>
<td></td>
</tr>
<tr>
<td>Date of assessment:</td>
<td>Time of assessment:</td>
</tr>
<tr>
<td>Qualification Title / Component/Level</td>
<td></td>
</tr>
</tbody>
</table>

**Name of learner(s) for which application is made:**

<table>
<thead>
<tr>
<th>Full Name</th>
<th>Learner Registration No.</th>
<th>Post Code</th>
</tr>
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<tbody>
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</table>

**Provide details of circumstances affecting performance in assessment:**

**Provide details of supporting evidence (must be made available on request):**
Evidence in support of the application may include:

- Medical or psychological evidence
- Statement from the invigilator / verifier

Provide details of the measures taken (or suggested)

Partial absence

In cases of partial absence, please indicate an estimation of what the learner would have achieved in normal circumstances and list four learners estimated to be of a comparable standard.

Estimation of learner achievement

List four learners estimated to be of a comparable standard:

Learner Numbers:

Declaration: I confirm that the information provided above is accurate;

<table>
<thead>
<tr>
<th>Name:</th>
<th>Signature:</th>
<th>Date</th>
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<table>
<thead>
<tr>
<th>Position in Centre:</th>
<th>Contact No. and E-mail</th>
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</table>

For use by NOCN:

Application Received: Application acknowledged: Signature:

Further action
Appendix B

Instructions for Centres

Centres must ensure that an appropriate second tutor/assessor carries out formal observation, including a written report of performance for a minimum of 10% of the cohort for all levels of Functional Skills English Speaking, Listening and Communication and Entry Level 1 Functional Skills Mathematics. This is to ensure that the assessments, which require very limited learner recording of responses, are being conducted appropriately.

A minimum 10% of the cohort must be observed proportionately across the relevant levels for each of these components/qualifications.

When more than one tutor conducts the assessments, the observation of assessments should be spread proportionately across all tutors.

Although there is no requirement to make an audio/visual recording of the assessment, this may be done to further strengthen the quality assurance process.

A separate copy of this Report on Observation of Internal Assessment should be completed by the observer for each tutor carrying out assessment.

The form should be retained and made available for the External Verification visit.

Revised Aug 2012
<table>
<thead>
<tr>
<th><strong>Name of Centre</strong></th>
<th></th>
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<tbody>
<tr>
<td><strong>Functional Skill</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Functional Skill Level</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Date(s) of assessment</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Name of Tutor/Assessor</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Name of Observer</strong></td>
<td></td>
</tr>
</tbody>
</table>

| **Learners observed (names and ULNs – list may be attached)** |  |
| **Were assessments conducted in accordance with the NOCN Functional Skills guidance** |  |
| **Do you agree with the assessor’s decisions? Give details of any adjustments applied to the assessor’s assessment of the performance of the learners as an outcome of this observation process (with reference to specific learners)** |  |
| **Other comments or feedback to assessor** |  |
| **Have you attached a list of all learners (at the same level) in this assessment cohort? (This can be a copy of the CLRF, class list or RAC.)** |  |
| **Observer’s signature and date** |  |
| **Tutor/Assessor’s signature and date** |  |
### Functional Skills
**Internal Verification Feedback to Assessor**

<table>
<thead>
<tr>
<th>Functional Skill Sampled</th>
<th>Title of Assessment</th>
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<table>
<thead>
<tr>
<th>Component (if English)</th>
<th>Level</th>
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</table>

<table>
<thead>
<tr>
<th>Learners’ Name(s) Sampled</th>
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</thead>
<tbody>
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</table>

**General Feedback to assessor**

<table>
<thead>
<tr>
<th>Good practice Identified</th>
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</table>

**Action Plan**

Signed: .................................. (Internal Verifier) Date: ........

Signed: .................................. (Assessor) Date: ....

V2
Functional Skills
Internal Verification Planning Document

<table>
<thead>
<tr>
<th>Learner Name</th>
<th>Sample Y/N</th>
<th>Assessment Title/Component Title</th>
<th>Agree/Do not agree Decision</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

Signed: ........................................ (Internal Verifier) Date: ...........

Signed: ........................................ (Assessor) Date: ...........

This form may be used to record the sampling of learners’ work from one class or a number of classes taught by the same assessor. It should list all the learners and identify which were sampled.

Functional Skill _____________________________ Level _____________________________
This form may be used to plan the sampling of learners’ work from a number of classes taught by a number of different assessors. It should list all the learners and identify which will be sampled.

Signed: ……………………………….. (Internal Verifier) Date: ………
Appendix C
Centres must ensure that assessments take place in a suitable assessment environment.

This means that:

- Any room in which an assessment is held must provide candidates with appropriate conditions for taking the assessment. Particular attention should be given to conditions such as heating, lighting, ventilation and the level of outside noise.

- Display material, such as posters, wall charts, information leaflets, which might be helpful to candidates must not be visible in the assessment room.

- A reliable clock (or other suitable time keeping device, eg. time displayed via a computer screen) must be visible to each candidate in the assessment room. The clock/display must be large enough for all candidates to read clearly.

- The following items should be on display in the assessment room:
  - A poster advising candidates that mobile phones should be switched off
  - Assessment notice for candidates
  - Centre appeals procedure
  - Emergency/evacuation procedures

- There should be a sign, clearly visible to others in the building, that an assessment is taking place

- Information must be visible to all candidates showing the centre number and the start and finish times of the assessment.

- Seating arrangements must prevent candidates from overlooking the work of others. In particular, the minimum distance in all directions from centre to centre of candidates’ chairs must be 1.25 metres. All candidates should be seated facing the same direction

- For written assessments, each candidate should have a separate desk or table large enough to hold question papers. Candidates who are not seated at individual desks must be far enough apart (minimum 1.25m) so that their work cannot be seen by, and contact cannot be made with, other candidates.

- For computer-based assessments: the room layout must be planned to prevent screens being read by other candidates; there must be at least 1.5 metres from the centre of each screen to the centre of the next screen; the clock is displayed on every computer screen in use; a trained administrator must be available during the assessment to deal with any technical queries that may arise

- There must be space for the invigilator to sit.

Centres are required to maintain records of how assessment venues meet these criteria, which must be made available to NOCN on request.

False or misleading statements by centres in respect of assessment venues may result in immediate suspension or withdrawal of centre approval, and assessment papers may be declared void.
Starting the assessment:
Before the assessment starts, the exam invigilator **must**:

- Check that all candidates have the required identity documents and photograph (where applicable) and that the relevant section of the Assessment Front Cover Sheet has been completed to show attendance.
- Advise candidates who are unable to provide the required identity documents and photograph that they **cannot** sit the assessment, and that they must leave the assessment room unless they can be identified by their assessor.
- Make sure that the seating arrangements meet awarding body requirements (see assessment venue requirements).
- Inform candidates that they must follow the regulations of the assessment.
- Open the packets of assessment papers, in the assessment room in front of the candidates, and distribute to candidates.
- Check that candidates have the correct paper.
- Advise candidates of emergency/evacuation procedures.
- Tell candidates to log onto computers and access email address (ICT only).
- Ensure that data files are available for use in ICT assessments (ICT only).
- Check that an email has been sent to candidates to inform them how to access the data files. (ICT only)

The invigilator must advise candidates that:

- They should write in blue or black ink.
- All mobile phones, or other electronic devices, should be switched off.
- Any course material should be removed from their desk, and placed at either the front or back of the room.
- They should not ask for, and will not be given, any explanation of the questions and answers.
- If they leave the assessment room, unaccompanied by a member of centre staff, they will not be able to return during the assessment.

The invigilator **must**:

- Announce clearly to candidates when they may begin.
- Specify the start and finish time of the assessment, and the earliest time that candidates can leave the assessment room.
- Remind candidates that they cannot communicate in any way with, ask for help from or give help to another candidate while they are in the assessment room.

The invigilator **must not**:

- Make any comment where a candidate believes that there is an error or omission on the question paper. However, in this situation, the invigilator must refer the matter to the head of the centre, who should send a report to NOCN.
- Give any information to candidates about possible mistakes in the question paper, unless there is an erratum notice, or permission has been given by NOCN.
- Comment on the content of the question paper.
- Offer any advice or comment on the work of a candidate.

**During the assessment:**
Invigilators must supervise candidates throughout the whole time that an assessment is in progress. This means that:

- Invigilators must give complete attention to this duty at all times
- Invigilators must not carry out any other task (for example doing other work, using a mobile phone) in the assessment room
- Invigilators are required to move around the assessment room, quietly and at frequent intervals
- Give frequent time checks
- Monitor use of Internet and email in Part B of ICT assessments – at no time should learners access these programmes. Any use of Internet and email should be reported to NOCN and the learner warned that this may lead to disqualification.

**Summoning help during an assessment:**

When one invigilator is present in an assessment, they must be able to summon help, in case of an emergency, without leaving the room or disturbing candidates. A mobile phone may be used, and must be switched to silent alert, so as not to disturb candidates.

**Candidates who arrive late:**

A candidate who arrives after the assessment has started must not be allowed to enter the assessment room. Arrangements will need to be made by the centre to order assessment papers for an alternative date.

**Leaving the assessment room:**

Candidates are not permitted to leave the assessment room until at least twenty minutes assessment time has elapsed (other than in an emergency/medical situation). Where candidates have completed their assessment and are permitted to leave before the finish time, they should be instructed to do so quietly, without causing undue distraction to others.

**Ending the assessment:**

When ending the assessment, invigilators should give sufficient notice to candidates. This is normally achieved by giving a fifteen minute and five minute warning prior to the published finish time.

All assessment papers and computer printouts should be collected, and placed in secure storage prior to submitting to NOCN for marking.

At no point should any indication be given to candidates as to whether it is believed that they have passed or failed the assessment. The marking of assessment papers by centre staff, to pre-empt awards will be treated as malpractice and could result in the withdrawal of centre approval. Assessment papers should be sent to NOCN within 24 hours of completion of the assessment. Assessments must not be invigilated by the class tutor unless another independent invigilator is present.

This checklist summarises the essential actions for invigilating NOCN Functional Skills external assessments at Level 1 and 2.
# Functional Skills
## Invigilator Procedure

<table>
<thead>
<tr>
<th>A</th>
<th>Arranging the assessment room</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Check that walls have been cleared of any material that may assist candidates</td>
</tr>
</tbody>
</table>
| 2 | Check that you have the following on display:  
   - Poster advising candidates that mobile phones should be switched off  
   - Examination notice for candidates  
   - Centre appeals procedure  
   - Emergency/evacuation procedures  
   - A clock that all candidates can see clearly  
   - A board showing the centre number; batch number; start and finish time of the assessment |
| 3 | Ensure that desks/computers are correctly spaced |
| 4 | Check that there is a sign clearly visible to others in the building that an examination is taking place |
| 5 | Check that candidates have access to the required data files (ICT assessments only) |
| 6 | Check that an email giving instructions regarding access to data files has been sent to candidates (ICT only) |

<table>
<thead>
<tr>
<th>B</th>
<th>Identifying candidates</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Check that all candidates have the required identity documents and that the relevant section of the Assessment Front Cover sheet has been completed to identify attendees at the assessment.</td>
</tr>
<tr>
<td>2</td>
<td>Advise candidates who are unable to provide the required identity documents and photograph that they cannot sit the assessment unless their assessor can identify them.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>C</th>
<th>Before the examination starts</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Tell candidates that they are now subject to examination conditions</td>
</tr>
</tbody>
</table>
| 2 | Draw candidates attention to:  
   - Emergency/evacuation procedures  
   - Poster advising candidates that mobile phones should be switched off  
   - Examination notice for candidates  
   - Centre appeals procedure |
| 3 | Tell candidates that they must place any unauthorised materials, including course notes, at the front, or back of the room. |
| 4 | Open the envelope (s) containing the assessment papers in the assessment room |
| 5 | Tell the candidates:  
   - To enter their personal details on to the candidate information sheet (if this has not already been completed)  
   - To read the instructions on the front of the response sheet |
| 6 | Remind candidates to use only blue or black ink |
| 7 | Tell candidates when they can begin, how much time they have, and when they can leave the examination room |

<table>
<thead>
<tr>
<th>D</th>
<th>During the examination</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Be vigilant throughout. Supervise the candidates at all times to prevent cheating and distractions. This includes walking around the examination room.</td>
</tr>
<tr>
<td>2</td>
<td>Do not give any information to candidates about the content of any question or answer on the paper, or the requirements for answering particular questions</td>
</tr>
<tr>
<td>3</td>
<td>Do not carry out any other task whilst in the assessment room</td>
</tr>
<tr>
<td>4</td>
<td>Tell candidates to stop writing at the end of the assessment time</td>
</tr>
<tr>
<td>5</td>
<td>Monitor use of Internet and email in Part B of ICT assessments – at no time should learners access these programmes. Any use of Internet and email should be reported to NOCN and the learner warned that this may lead to disqualification.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E</th>
<th>At the end of the examination</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ensure that candidates leaving before the finish time do so without causing distraction to others</td>
</tr>
<tr>
<td>2</td>
<td>Collect all assessment papers and response sheets and print outs from computers where required, ensuring that these are kept in a secure place before being sent for processing.</td>
</tr>
</tbody>
</table>
This notice has been written to help you. Read it carefully and follow the instructions. If there is anything that you do not understand, ask your tutor, or invigilator.

<table>
<thead>
<tr>
<th>A</th>
<th>Regulations: Make sure you understand the rules</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Be on time for the assessment(s). If you are late, you will not be allowed to sit the assessment.</td>
</tr>
<tr>
<td>2</td>
<td>Do not become involved in any unfair or dishonest practice during the assessment.</td>
</tr>
<tr>
<td>3</td>
<td>If you try to cheat, or break the rules in any way, your paper will be voided.</td>
</tr>
<tr>
<td>4</td>
<td>Make sure you have all of the required identity documents and photograph and bring them with you to the assessment room. Without them, you will not be able to sit the assessment unless your assessor can identify you.</td>
</tr>
<tr>
<td>5</td>
<td>Do not have any material on your desk that might give you an unfair advantage. This includes course material, leaflets and any notes that you may have made during your course.</td>
</tr>
<tr>
<td>6</td>
<td>Make sure your mobile phone is switched off.</td>
</tr>
<tr>
<td>7</td>
<td>Use a blue or black pen to write your answers.</td>
</tr>
<tr>
<td>8</td>
<td>Do not try to talk to, communicate with, or disturb other candidates once the assessment has started.</td>
</tr>
<tr>
<td>9</td>
<td>If you leave the assessment room unaccompanied by a member of centre staff before the assessment has finished, you will not be allowed to return.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>B</th>
<th>Instructions during the assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Listen to the invigilator and follow their instructions at all times</td>
</tr>
<tr>
<td>2</td>
<td>Tell the invigilator at once:</td>
</tr>
<tr>
<td></td>
<td>• If you think you have not been given the correct question paper</td>
</tr>
<tr>
<td></td>
<td>• If the question paper is incomplete or badly printed</td>
</tr>
<tr>
<td></td>
<td>• For ICT assessments – if you do not have your instructions on email about accessing the data files</td>
</tr>
<tr>
<td>3</td>
<td>During Part B of ICT assessments, you must not access Internet or Email. If you are found to be using either Internet or Email you will be reported and you may be disqualified from the whole of the assessment</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>C</th>
<th>Advice and assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>If on the day of the assessment you feel that your work may be affected by ill health, or any other reason, let your invigilator know</td>
</tr>
<tr>
<td>2</td>
<td>Raise your hand during the assessment if:</td>
</tr>
<tr>
<td></td>
<td>• You have a problem and are in doubt about what you should do</td>
</tr>
<tr>
<td></td>
<td>• You do not feel well</td>
</tr>
<tr>
<td></td>
<td>• You need a replacement pen</td>
</tr>
<tr>
<td>3</td>
<td>You must not ask for, and will not be given, any explanation of the questions and answers</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>D</th>
<th>At the end of the assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Do not leave the assessment room until told to do so by the invigilator</td>
</tr>
<tr>
<td>2</td>
<td>If given permission to leave the assessment room before the published finish time, do so without disturbing other candidates.</td>
</tr>
<tr>
<td></td>
<td>Do not remove your assessment paper from the assessment room.</td>
</tr>
</tbody>
</table>

This notice should be given to candidates BEFORE the assessment. It should be displayed in the assessment room at the time of the assessment.
Appendix D
This form should be used by the centre to track achievement of English components. When completing the RAC the Centre should transfer the components achieved information but NOT the failed components, clearly indicating which assessment has been achieved for each component on the RAC, e.g. Pets E1 Writing, Recycling E1 Reading and Speaking, Listening and Communication. Put the titles of the current themes in the top row of the form.

<table>
<thead>
<tr>
<th>Theme Title</th>
<th>Component</th>
<th>SLC</th>
<th>R</th>
<th>W</th>
<th>SLC</th>
<th>R</th>
<th>W</th>
<th>SLC</th>
<th>R</th>
<th>W</th>
<th>SLC</th>
<th>R</th>
<th>W</th>
</tr>
</thead>
<tbody>
<tr>
<td>e.g. F James</td>
<td>E3 Fail Fail</td>
<td>E3 Fail</td>
<td>E3</td>
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<td></td>
</tr>
<tr>
<td>e.g. H Best</td>
<td>Fail</td>
<td>E2 E2 E2</td>
<td></td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>e.g. J Patel</td>
<td>E1</td>
<td>E1 E1</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Component</th>
<th>SLC</th>
<th>R</th>
<th>W</th>
<th>SLC</th>
<th>R</th>
<th>W</th>
<th>SLC</th>
<th>R</th>
<th>W</th>
<th>SLC</th>
<th>R</th>
<th>W</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theme Title</td>
<td>Functional Skill e.g. Maths/ICT</td>
<td>Maths</td>
<td>Maths</td>
<td>Maths</td>
<td>ICT</td>
<td>ICT</td>
<td>ICT</td>
<td>ICT</td>
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<td></td>
</tr>
<tr>
<td>e.g. F James</td>
<td>E3</td>
<td></td>
<td></td>
<td></td>
<td>Fail</td>
<td>E3</td>
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<td></td>
</tr>
<tr>
<td>e.g. H Best</td>
<td>Fail</td>
<td>E2</td>
<td></td>
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</tbody>
</table>

This form should be used by the centre to track achievement of Maths and ICT qualifications. Put the titles of the current themes in the top row of the form. When completing the RAC the Centre should transfer the components achieved information but NOT the failed components, clearly indicating which assessment has been achieved for each component on the RAC, e.g. Pets E1 Maths, Recycling E1 ICT.
## Appendix E

### Current centre details

<table>
<thead>
<tr>
<th>Centre number</th>
<th>Centre name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate number</td>
<td>Candidate name</td>
</tr>
<tr>
<td>Planned assessment date (month/year)</td>
<td>ULN</td>
</tr>
</tbody>
</table>

Reason for application

### Previous centre details

A separate application must be made for each awarding organisation.

<table>
<thead>
<tr>
<th>Centre number</th>
<th>Centre name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate number</td>
<td>Awarding organisation</td>
</tr>
</tbody>
</table>

Details of component(s) for which transfer is requested.

<table>
<thead>
<tr>
<th>Component</th>
<th>Level</th>
<th>Date achieved (month/year)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

Declaration by learner

To the best of my knowledge, the information provided above is accurate.

Signature: .......................................................... Date

Declaration by Examination Officer

To the best of my knowledge, the information provided above is accurate.

Print name: ..........................................................

Signature: .......................................................... Date

For awarding organisation use