

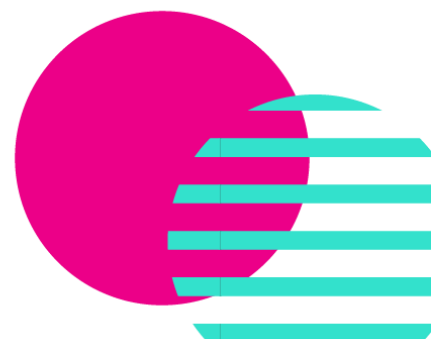


PART OF **nocn** GROUP



NOCN Examination and Invigilation Policy and Procedure

12th August 2024 (V5.1)



Contents

1. Scope	1
2. Purpose	1
3. Confidentiality of Examination Materials	2
4. Provision of Examination Materials (Knowledge)	3
I. Quartzweb Download.....	3
II. Paper-Based Examinations.....	4
III. Return of Examination Papers	4
IV. Online Examinations	5
5. Provision of Examination Materials (Practical)	5
I. Regulated Qualifications	5
II. End Point Assessment.....	6
6. Use of Appropriate Venues	6
I. Arrangement of Desks/Workstations for Knowledge Examinations	7
II. Information to Display	7
III. Open Book Examinations.....	7
IV. Additional Requirements for Practical Examinations	8
7. Products with Specific Requirements	8
8. Invigilator Role and Responsibilities	9
I. Invigilator Requirements	9
II. Training of Invigilators.....	10
III. Agents Who Support Invigilators	10
IV. Application of Reasonable Adjustments/Special Considerations	11
I. Before the Examination.....	11
II. During the Examination.....	11
III. Emergencies and Evacuation	12
IV. Ending the Examination	13
V. Leaving the Examination Room	13

10. Additional Guidance Regarding Invigilation of Online Examinations	14
I. Remote Invigilation	14
II. Observe, Record and Review (ORR) Invigilation	14
III. Record and Review.....	15
IV. Loss of Internet Connection or Power	15
V. Switching from Online to Paper-Based.....	16
VI. Offline Examinations	16
11. Monitoring of Centre Examination and Invigilation Practices	16
I. Cancellation or Amendment of Examinations.....	17
II. Examination Malpractice	17
12. Document Control	18
Appendix 1 – Log of Invigilator Training.....	19
Appendix 2 – Examination Room Checklist.....	20

1. Scope

1.01 This document outlines NOCN's policy and procedure for the administration, conduct and invigilation of examinations, controlled assessments and End Point Assessments. For clarity purposes, this policy will use the following umbrella terms:

- a) '*Knowledge Examination*' refers to an assessment which requires a test of knowledge, either through written responses, completion of a multiple-choice test, or a combination of the two (both paper-based and online). These are usually always administered and supervised by an Invigilator and the result confirmed by NOCN.
- b) '*Practical Examination*' refers to all other forms of assessment which are usually practical in nature, for example a skills test, a professional discussion or an interview. These are usually not invigilated but are rather assessed by Assessors (including End Point Assessors). In these cases, it is the Assessor's responsibility to ensure that the conditions of the assessment are controlled and in line with this policy and procedure. Specific guidance on the conduct of practical examinations can be found in section 9.

1.02 The intended audience for this policy is:

- a) NOCN Directors and Board of Trustees.
- b) NOCN core, sub-contracted and associate staff, including External Quality Assurers (EQAs), End Point Assessors (EPAs) and those acting as NOCN Invigilators.
- c) All staff of NOCN Delivery Partners associated with NOCN provision.
- d) All staff in NOCN recognised/partner centres and training providers.
- e) Learners registered on NOCN products.
- f) Apprentices completing End Point Assessments.
- g) Qualification¹, assessment and industry Regulators.

1.03 This policy applies to all externally set NOCN examinations, including those which are completed paper-based and online. Therefore, this policy covers various distinctive methods of invigilation including paper-based, online and remote.

1.04 There is a separate NOCN Invigilator Handbook available which contains posters, templates, forms and further guidance for Centres/Providers and assigned Invigilators.

1.05 Where a Centre is managed by a recognised NOCN Delivery Partner, the Delivery Partner will provide examination material and monitor the Centre's invigilation practices on behalf of NOCN. Centres should contact their Delivery Partner directly for further information and guidance.

2. Purpose

2.01 The purpose of this document is to:

- a) Establish a clear set of rules that address security and control risks regarding the setting, delivery, printing, handling, distribution, transportation and storage of examination papers and material.
- b) Outline individual responsibilities in ensuring that examinations are administered in a way which is compliant with this policy.
- c) Establish resource and space requirements regarding the conduct of examinations.
- d) Establish quality and delivery arrangements of examinations to maintain the confidentiality and integrity of NOCN products.

¹ Ofqual in England; Qualification Wales; CCEA Regulation in Northern Ireland or successor bodies.

- e) Outline the requirements for the invigilation of knowledge examinations and the control of practical examinations.
- f) Detail the distinctive forms of invigilation that are available for NOCN knowledge examinations.
- g) Confirm the actions that will be taken against individuals, or centres/providers, who are found to be in violation of this policy.

3. Confidentiality of Examination Materials

- 3.01 All centres and training providers delivering NOCN examinations must follow the requirements outlined in this policy and procedure to maintain the security of examination materials. It is the responsibility of all individuals involved in examination administration and delivery (including Centre/Training Provider staff) to ensure security of materials are maintained at all times.
- 3.02 NOCN may be required to provide examination material in advance to allow the Centre or Training Provider to facilitate preparation arrangements. This includes a material list or preparation/planning document. These materials do not need to be kept confidential from authorised individuals but should not be shared externally by a Centre or Training Provider.
- 3.03 Any breaches, or suspected breaches, of the confidentiality of examination materials must be reported to groupcompliance@nocn.org.uk to allow this to be investigated by NOCN.
- 3.04 Examinations will only be provided by NOCN in a secure manner, such as through a designated examination contact within a Centre, directly to an End Point Assessor or securely through an online Test Platform. Once materials are provided, it is the responsibility of the learner/apprentice, the assigned Invigilator/Assessor and the Centre/Training Provider to ensure that the material and any associated passwords to access that material, remains secure and confidential at all times.
- 3.05 If issued in advance, examination papers must be stored and kept securely at all times and must only be accessed by authorised individuals. At no point before, during, or after the assessment must unauthorised individuals, including delivery staff, have sight of the material (unless otherwise specified – see Section 7 for details). For centres delivering regulated qualifications, the Centre must provide details of the named contact who is responsible for maintaining the security of assessment material within their examination and invigilation policy or secure storage policy. For Training Providers delivering end point assessments, at no point must any individual have access to examination material other than the End Point Assessor, the assigned Invigilator and the apprentice.
- 3.06 If it is identified by NOCN that examination material has been accessed, amended or distributed in an unauthorised manner by a Centre, Training Provider or other individual, or that a learner or apprentice has had access to examination material outside of the examination window, NOCN will investigate the breach in line with the NOCN Malpractice and Maladministration Policy and Procedure. This may lead to NOCN voiding any linked examination paper(s). Centres may also be sanctioned in line with the NOCN Risk-Based Approach to Centre Quality Monitoring Policy and Procedure.
- 3.07 NOCN examination material must not be amended or annotated by Centre/Provider staff members unless prior authorisation has been provided by NOCN as part of a reasonable adjustment or special consideration application. Examination papers or questions must also not be copied or used for training purposes (such as for mock examinations) under any circumstance. Both of these practices are classified as acts of malpractice by NOCN.

4. Provision of Examination Materials (Knowledge)

4.01 Dependent on the examination and the type of booking made, NOCN will issue knowledge examinations either through Quartzweb download, paper or via our online Test Platform.

I. Quartzweb Download

4.02 Where the required notice is given to book an examination, NOCN will aim to ensure that materials are made available to centres *2 working days* before the date of the first examination. NOCN is not able to, unless in exceptional circumstances, provide access to examination material outside of this period to protect the confidentiality of materials.

4.03 All examination papers provided by NOCN will be password protected. Access to the password will be provided by NOCN or our Delivery Partner and will only be made available to authorised individuals within the Centre. Under no circumstances must any individual involved in the teaching/training or assessing of the qualification in which the examination relates have access to the paper or the password at any time.

4.04 Centres must only print the exact number of papers that are required for the number of learners who will be in the specific examination sitting, this must be in line with the number of learners the Centre notified to NOCN upon examination registration or ordering. If this number has changed, the Centre must notify NOCN as soon as possible via email at nocn@nocn.org.uk. Where NOCN authorises the access to, or issuing of, additional examination papers, these must be accessed and securely stored in line with this policy. Where additional examination papers are in possession due to a decrease in the number of learners, unused papers must be securely destroyed by the Centre.

4.05 The Centre staff member printing examination papers must not hand over said papers to learners or unauthorised staff members. Centres must consider the arrangements they have in place when printing hard copies of papers to ensure that the security of examination material is maintained. After each printing session, checks must be carried out to ensure that:

- a) No master copies are left on the machine and that all papers, including spoilt copies, are removed and confidentially destroyed by the designated Centre staff member.
- b) No electronic images or memory are remaining on the printing machine after examination papers have been printed in cases where papers are electronically downloaded to a printing machine.

4.06 Once printed, examination papers must be placed into a sealed envelope. The individual must also sign and date over the seal to confirm who printed the material and when. Once printed, the sealed envelope must be taken to the Centre's secure storage location, in line with the Centre's own examination and invigilation or secure storage policy, which must be in line with requirements of this policy. Where possible, the envelope must be stored in a lockable safe. Where a safe is not available, a suitable lockable cabinet/storage unit is appropriate. The secure storage unit must be kept in a secure location and only be accessed by appropriate Centre staff members and a record of key holders must be kept. The sealed envelope *must not* be opened until the five minute period before the examination start time by the assigned Invigilator.

4.07 Centres must ensure that they have appropriate arrangements to ensure that examination materials are accessed only by those authorised by the Centre's Examination Contact. Unless prior authorisation from NOCN has been provided, the sealed package must only be handled by authorised individuals or their delegated representative and must not be handled by messengers, learners or individuals who are involved in the teaching/training or assessing of the qualification in which the examination relates.

4.08 The transportation of examination papers is permitted however, the Centre must be able to demonstrate that the security of the papers will be maintained at all times. Papers must remain in their sealed package and be placed in a sealed unit during transit. The container must not be left unattended at any time during the transportation. The papers must be kept in a secure location at all other times. Centres must detail their own procedure for the secure transportation of papers within their examination and invigilation or secure storage policy.

II. Paper-Based Examinations

4.09 Where paper-based examinations are issued by NOCN, they will be delivered to centres via a secure courier within *2 working days* before the date of the first examination. The package containing examination material must be signed for by a Centre representative upon receipt. Paper-based examinations are sent to the Centre's main site address, unless a specific site has been requested when the examinations were ordered.

4.10 Upon receipt, the package containing the examination material must be taken to a secure room for checking. This must be conducted by a Centre staff member who has had prior authorisation from the Examination Contact to handle examination material. Centres must notify NOCN if any issues are identified, including, but not limited to:

- a) If it appears that the parcel has been opened during transit.
- b) The material has been significantly damaged in transit.
- c) There are discrepancies or errors with the assessment materials assigned (the individual must not review the actual content of the examination papers).
- d) Where there is any suspicion that the security of the examination material has been breached.

4.11 As soon as the checks in 4.11 have been completed, the sealed package must be securely stored, unopened, at all times to ensure confidentiality, in line with the requirements of 4.07.

III. Return of Examination Papers

4.12 Centres must ensure that examination papers and associated material are packaged appropriately immediately after the examination has concluded. This must be completed by an individual who has had prior authorisation from the Centre's Examination Contact to handle examination material.

4.13 The authorised individual who packages the material must ensure that any unused examination papers are separated from completed papers/response sheets and that the unused papers and material are securely destroyed within the Centre. Completed examination papers and material must be placed into a sealed package for return to NOCN. The package must be stored securely at all times while a courier service to NOCN is arranged.

4.14 NOCN must receive, *within 2 working days* of the examination date, the sealed package containing all used examination papers using a trackable method such as recorded delivery or courier. The Centre must keep records of the courier and tracking numbers.

4.15 Where an examination paper sent via a secure and traceable method becomes lost, the Centre should notify NOCN as soon as this is identified.

4.16 Failure to return papers using a traceable method such as recorded delivery or courier is considered an act of maladministration in line with the NOCN Malpractice and Maladministration Policy and Procedure. Where examination papers are lost and they were not returned by the Centre through a secure and traceable method, the learner's result may be voided.

- 4.17 If a Centre is unable to return the papers *within 2 working days* of the examination, they must confirm this in writing to assurance@nocn.org.uk as soon as possible, explaining the reason for the delay and the expected date of receipt.
- 4.18 Where examination papers are consistently not returned in the required period, NOCN may Sanction centres in line with the NOCN Risk-Based Approach to Centre Quality Monitoring Policy and Procedure.

IV. Online Examinations

- 4.19 Online examinations are administered through the NOCN Test Platform. NOCN must ensure that all of its examinations are administered and invigilated in a robust and secure way.
- 4.20 For online examinations, the examination will be made accessible on the day and time that the assessment has been booked/scheduled for. Wherever possible, the examination must start at the time the examination was booked for with NOCN. NOCN does recognise that there may be instances where examinations may be required to start late and therefore NOCN provides a 2 hour window at either side of the scheduled examination time to allow for flexibility in relation to start times.
- 4.21 The Centre/Training Provider must ensure that learners/apprentices are familiar with the examination instructions provided by the online testing platform before the start of their examination, as well as instructions and regulations for the online examination, particularly on how to navigate and respond to questions. Centres must also ensure that invigilators are familiar with the systems used prior to an online examination, and that technical support is available throughout all online examinations in case of malfunctioning equipment or software.
- 4.22 Where online examinations are administered and invigilated by centres or training providers, access to NOCN's test platforms must be controlled by the authorised Examination Contact. This individual must not be involved in the preparation of learners or apprentices for examinations. Electronic usernames and passwords must be stored securely, with only authorised staff members having access. Learner usernames and passwords *must not* be provided to learners until the ten minute period before the scheduled examination start time.
- 4.23 Section 10 contains further information and guidance regarding the invigilation and administration of online examinations.

5. Provision of Examination Materials (Practical)

I. Regulated Qualifications

- 5.01 In the majority of cases, NOCN will make practical examinations available through the vLearn platform. Passwords will be provided by NOCN and will only be made available to authorised individuals within the Centre. Additional logins must be controlled by the Examination Contact within the Centre to ensure only authorised individuals gain access.
- 5.02 Centres must ensure that they do not publish or disseminate NOCN examination material at any time or access practical examination material unless assessments are being carried out with registered learners.
- 5.03 It is the responsibility of the Centre to ensure that learners are not provided with access to examination material before their planned assessment date.

- 5.04 Where a learner fails a practical assessment, centres are responsible for allocating a resit assessment (where this is available).
- 5.05 Records of all completed assessments must be kept in line with the Centre's secure storage/documentation policy and procedure. This includes ensuring that access to learner work is only provided to authorised individuals and that these are not shared externally outside of the Centre, including with potential learners.

II. End Point Assessment

- 5.06 Where an End Point Assessment requires examination material to be provided to an apprentice, such as a job sheet for a practical assessment, the materials will be provided by NOCN directly to the End Point Assessor. The End Point Assessor will provide the material to the apprentice at the start of their assessment. Following the completion of the assessment, the End Point Assessor will collect all examination material and return this securely to NOCN. At no stage will the provider or employer have sight of the assessment materials.
- 5.07 To maintain the confidentiality of examination material, neither NOCN or the End Point Assessor will provide copies of material to apprentices where this is not required for the completion of the assessment, such as a question bank for an interview. This will also include recordings of assessments which will be stored securely by NOCN for quality assurance purposes.
- 5.08 It is the responsibility of all individuals involved in the administration and delivery of all NOCN End Point Assessments (including apprentices, End Point Assessors and Training Providers) to ensure security of materials are maintained at all times.
- 5.09 Any breaches, or suspected breaches, of the confidentiality of examination materials must be reported to groupcompliance@nocn.org.uk to be investigated.

6. Use of Appropriate Venues

- 6.01 All examinations must be conducted in an appropriate setting, which is conducive to examination conditions. The room must be one in which learners and apprentices will not be disturbed and be of a sufficient size. Rooms must also be of a comfortable atmosphere in terms of hygiene, noise levels and temperature.
- 6.02 The Head of Organisation, in conjunction with the relevant Examination Contact, is responsible for ensuring that only venues and rooms which have been deemed appropriate are used.
- 6.03 For assessments which form part of regulated qualifications, the Centre is responsible for completing a NOCN Examination Room Assessment checklist (found in the NOCN Invigilator Handbook, Appendix 11) to audit this assessment.
- 6.04 For assessments which form part of End Point Assessments, the Training Provider is responsible for ensuring a site sign off form is completed and provided to NOCN to audit this assessment. The appropriateness of venues will be re-confirmed by the allocated End Point Assessor on the assessment day, prior to the assessment commencing.
- 6.05 Only approved rooms which have been deemed as appropriate following the completion of the required form must be used for examinations. Completed forms must be stored and be made available to NOCN upon request. The Invigilator/Technician must also have access to, and be able to produce the checklist, during examinations.

I. Arrangement of Desks/Workstations for Knowledge Examinations

- 6.06 The arrangement of desks/workstations and the position of the Invigilator's desk must facilitate the detection of any unauthorised activity by learners/apprentices, for example, communication with others or use of unauthorised reference material.
- 6.07 Each learner/apprentice's desk/workstation for both paper-based and online examinations must be spacious enough to hold question papers and answer booklets and/or computer equipment. For online examinations, sufficient workstations must be available, including at least one replacement computer in case of any technical issues.
- 6.08 Learners/apprentices desks/workstations must be far enough apart so that their work cannot be seen by, and contact cannot be made with others. Further detail on the spacing of desks/workstations can be found in the Invigilator Handbook.
- 6.09 For paper-based examinations, all learners must be facing in the same direction. For online examinations, learners/apprentices can face each other if the setup of workstations allows for the security of examination material to be upheld. However, where possible, it is recommended that all learners/apprentices face the same direction.
- 6.10 Prior to each examination session, a seating plan must be created by the Centre/Invigilator. This must be retained and provided to NOCN upon request. Further guidance can be found within the NOCN Invigilator Handbook.

II. Information to Display

- 6.11 The Invigilator must ensure that all unauthorised display material which could assist a learner/apprentice with the skill or knowledge being tested (such as maps, diagrams, wall charts and projected images etc.) are not visible in the examination room.
- 6.12 The Invigilator must ensure that the required signage is prominently displayed in all examination sessions. A list of required signage can be found within the NOCN Invigilator Handbook.

III. Open Book Examinations

- 6.13 A small number of examinations have been designed by NOCN to allow learners/apprentices to have reference material with them to support their responses. NOCN refers to these examinations as 'open book'. NOCN confirms whether an examination can be conducted as an open book examination within the relevant qualification specification.
- 6.14 When undertaking an open book examination, learners/apprentices are permitted to:
- Use textbooks or online books which have been deemed appropriate for use for the examination by the Centre/Training Provider.
 - Access the internet during online examinations, providing that the Invigilator can see the materials being accessed.
 - Use their findings from any appropriate resources to interpret an answer to a question. For long written responses, the resources should be referenced and not copied.

IV. Additional Requirements for Practical Examinations

- 6.15 Once the assessment is booked, it is the Training Provider/Centre's responsibility to ensure that on the day of the assessment:
- a) That all of the materials and equipment listed on the relevant materials list provided by NOCN are available to all applicable apprentices in the specified quantities.
 - b) All assessments bays are clear of any obstruction and are in close proximity to the required materials and equipment needed to complete the assigned tasks.
 - c) A technician/chaperone is available to support all apprentices/learners throughout the assessment.
- 6.16 Training providers/centres may have multiple assessment bays in the same venue. It is the Training Provider/Centre's responsibility to ensure that appropriate signage is in place to avoid disruption and to ensure examination conditions are maintained.
- 6.17 Training Providers/centres should ensure there is a suitable designated break area for learners/apprentices during their assessment. It is the responsibility of the technician/chaperone to ensure the validity of the assessment is maintained during any breaks.
- 6.18 It is important that all parties ensure that learners/apprentices are not left unsupervised during their assessment to ensure valid assessment outcomes. For assessments which form part of End Point Assessment, the End Point Assessor will have overall responsibility for ensuring this.
- 6.19 Technicians/chaperones are only permitted to support learners in assessments by lifting heavy materials, retrieving tools/equipment, or supporting safe working practice where appropriate (e.g., working at height) at the learner/apprentice's instruction. Technicians/chaperones are not permitted to undertake any action which forms part of the assessment. This includes, but is not limited to measuring, mixing and/or cutting materials, providing any instruction or advising a learner/apprentice on the quality of completed work.
- 6.20 Where it is identified that a chaperone/technician has undertaken any action forming part of the assessment, NOCN will investigate this in line with the NOCN Malpractice and Maladministration Policy and Procedure.
- 6.21 Where materials are required to be ordered in advance to support the delivery of an End Point Assessment, NOCN will provide a material list to the Training Provider, which will outline what materials need to be made available to the apprentice on the day. The material list will be provided at least 6 weeks prior to the planned assessment date, or at the stage the apprentice hits Gateway, if this is completed than 6 weeks prior to the assessment date.

7. Products with Specific Requirements

- 7.01 Some products have specific requirements regarding invigilation. Centres/Training Providers must consult the relevant qualification specification/qualification handbook for specific guidance.
- 7.02 Functional Skills Maths, English and Digital Skills delivery staff are not permitted to invigilate examinations for the subject(s) they deliver, regardless of whether they have delivered to the learners undertaking the examination.
- 7.03 As Entry Level Functional Skills examinations are administered and marked by delivery staff, these staff are permitted to view the associated examination material before, during and after an examination. However, these materials must still be treated as confidential from learners before and after their examination, and must be stored in accordance with this Policy.

7.04 Some examinations have been designed by NOCN to allow learners/apprentices to have reference material with them to support their responses. NOCN refers to these examinations as 'open book'. NOCN confirms whether an examination can be conducted as an open book examination within the relevant qualification specification.

7.05 When undertaking an open book examination, learners/apprentices are permitted to:

- a) Use textbooks or online books which have been deemed appropriate for use for the examination by the Centre/Training Provider.
- b) Access the internet during online examinations, providing that the Invigilator can see the materials being accessed.
- c) Use their findings from any appropriate resources to interpret an answer to a question. For long written responses, the resources should be referenced and not copied.

8. Invigilator Role and Responsibilities

I. Invigilator Requirements

8.01 All NOCN knowledge examinations must be invigilated, by an individual who has not prepared the learners for the examination, including the learners' Tutor/Trainer or Assessor. These individuals *must not* have access to examination papers for qualifications which they deliver, unless this is a requirement stated in the qualification's specification.

8.02 The Invigilator is the appointed person (or software) who has the responsibility for conducting an examination session, usually in the presence of learners/apprentices. Invigilators have a key role in upholding the integrity of the examination process and therefore must be suitably experienced adults who are not current learners at the Centre/Training Provider.

8.03 The Centre/Training Provider must manage any potential conflict of interest regarding their Invigilators. Invigilation cannot be carried out by a person related to the individual sitting an examination, or an individual who has a personal interest in the examination result. If an actual, or potential, Conflict of Interest is identified after a learner/apprentice has completed an examination, the Centre must notify the Regulation and Compliance Team via email at groupcompliance@nocn.org.uk as soon as they are able.

8.04 At least one Invigilator must be present for groups of up to 30 learners in examinations. Where only one Invigilator is present in an examination, they must be able to summon help, in case of an emergency, without leaving the room or disturbing learners/apprentices. For this reason, a switched-off mobile phone, two-way radio or other suitable communication device, may be taken into the examination room by the Invigilator. The mobile phone must only be turned on to summon assistance from a colleague, if required, (i.e., text message or telephone call) and must be switched off immediately after assistance has been received.

8.05 The Head of Organisation, in conjunction with the Examination Contact, must consider which staff members will be available for assistance during each examination session. The Invigilator must be aware of who they must contact if assistance is required. Wherever possible, the individuals who provide assistance must meet NOCN's Invigilator requirements.

- 8.06 The role of the Invigilator is to ensure that all examinations are conducted in accordance with NOCN requirements, in order to:
- a) Ensure that all learners/apprentices have an equal opportunity to demonstrate their abilities.
 - b) Maintain the security and confidentiality of examination material, before, during and after the examination – this includes the security of online examinations.
 - c) Prevent possible learner/apprentice malpractice, including plagiarism.
 - d) Prevent possible administrative failures.
 - e) Ensure that NOCN's identification requirements are adhered to.
- 8.07 Invigilators must also ensure that they are aware of their Centre's safeguarding policies and procedures and must note that their responsibilities regarding safeguarding still apply for invigilating learners remotely. If Invigilators do suspect any safeguarding issues, they should raise this internally within their Centre to their safeguarding contact.

II. Training of Invigilators

- 8.08 All examinations must be administered securely using appropriately trained Invigilators. Where a Centre/Training Provider conducts their own invigilation, the Centre/Training Provider is responsible for delivering formal and auditable training to each of its Invigilators regarding their role, responsibilities and on NOCN invigilation requirements, prior to their first invigilation activity. NOCN has a bespoke training package that centres are encouraged to use, which covers training on NOCN invigilation requirements and on invigilation best practice.
- 8.09 To support centres/training providers in auditing the training of Invigilators, NOCN has produced an Invigilator Training Log template (Appendix 1) which centres/training providers may wish to use, or they may wish to devise their own. An Invigilator Training Log must be stored for quality assurance purposes and be made available to NOCN upon request. Further guidance to support Invigilators in the NOCN Invigilator Handbook.
- 8.10 Where NOCN appoints an individual to act as an Invigilator for an examination, including an End Point Assessor, NOCN will ensure they are trained to the requirements outlined in this policy and will maintain its own records of Invigilator training.

III. Agents Who Support Invigilators

- 8.11 Individuals who have had prior authorisation from their Head of Organisation may be present in the examination room to assist the Invigilator with the required identification checks, enforcing examination conditions, or performing the role of a technician/chaperone. Individuals permitted to complete this role includes, but is not limited to:
- a) Those who solely carry out initial assessment, induction or administration processes.
 - b) Teaching assistants who have not been involved in the direct delivery of teaching or assessment of the product in which the examination relates.
 - c) Individuals who provide individual learning or access arrangements support (where approval has been granted by NOCN) to a learner/apprentice who is sitting their examination, as long as they meet NOCN's Invigilator requirements.
 - d) Individuals who solely provide technical support for Invigilators for online examinations.
- 8.12 It is essential that agents are sufficiently trained on their duties and on NOCN's invigilation requirements. A full record of individuals present in the examination room and their supporting activities must be kept and stored alongside the seating plan and records of identity checks.

IV. Application of Reasonable Adjustments/Special Considerations

- 8.13 Centres/Training Providers must ensure that all Invigilators have been sufficiently trained on the application of reasonable adjustments and special considerations. This includes training on any additional activities that Invigilators may need to carry out such as re-arranging a room, organising a separate room, accounting for extra time, or ensuring more than one Invigilator is available.
- 8.14 Where specific arrangements are being made for learners/apprentices with approved reasonable adjustments or special considerations, these must be adhered to, and the approval documentation must be available at the time of the examination. Further guidance for the implementation of reasonable adjustments can be found within the NOCN Reasonable Adjustments and Special Considerations Policy and Procedure.

9. Invigilation Procedure

I. Before the Examination

- 9.01 Prior to commencing the examination, Invigilator(s) must establish the identity of all learners/apprentices who will be sitting the examination. The identification process should be completed by the Invigilator in line with the Centre/Training Provider's own identification policy. Where NOCN conducts these checks, this will be completed in line with this policy.
- 9.02 The Invigilator must check with the relevant in-house staff members with sufficient notice prior to the examination session that they have been, or will be, provided with all the required materials that learners/apprentices will need to complete their examination. This includes stationery, calculators, or approved course materials/notes where required or permitted. For End Point Assessments, the Training Provider is responsible for providing materials.
- 9.03 Where a laptop or computer is required, the Invigilator must ensure that learners/apprentices are provided with a laptop or a computer which does not have unauthorised internet access or external communication channels with other users of electronic equipment. Invigilators must also ensure that learners/apprentices do not have access to any unauthorised facilities on their electronic equipment such as a spellchecker or a calculator, unless this is required to complete the examination. Learners/apprentices are permitted to use their own laptop or computer if necessary. It is the Invigilator's responsibility to ensure that this is appropriately.
- 9.04 Centres are not permitted to use iPhones or Tablets to complete online assessments without prior authorisation from NOCN. To safeguard the assessment processes where an iPhone or Tablet is used, remote invigilation is not permitted.
- 9.05 Learners/apprentices must be aware that they are under examination conditions from the time they enter the examination room/session until the point when they are permitted to leave. Learners/apprentices must not communicate with or disturb others once they have entered the examination room/session.

II. During the Examination

- 9.06 Where only one learner/apprentice is booked to sit an examination, the Invigilator is able to allow the examination to go ahead if the learner/apprentice arrives within the 30 minute period before or after the scheduled examination start time. This is at the Centre's discretion. A learner/apprentice is not permitted to take their examination once a session has started. The booking/registration fee for the examination is non-refundable.

- 9.07 During the examination, the Invigilator must give all their attention to invigilating the examination in line with NOCN requirements. Invigilators are prohibited from carrying out any other task (such as reading a book, using a computer or mobile phone).
- 9.08 Invigilators must ensure that they are vigilant at all times and remain aware of emerging situations, such as identifying signs of suspected malpractice. It is the Invigilator’s responsibility to ensure confidentiality of assessment materials is maintained throughout the examination session. Any irregularities must be recorded, stored at the Centre/Training Provider, and provided to NOCN as soon as possible. NOCN has produced a form template for Invigilators to use to record their irregularities, which can be found within the NOCN Invigilator Handbook.
- 9.09 The Invigilator must inform their Head of Organisation and/or Examination Contact if they are suspicious about the security of examination papers, completed response sheets or any other issue that threatens the integrity of the examination process. In these instances, the NOCN Regulation and Compliance Team immediately via telephone on 0300 999 1177.
- 9.10 If, during an examination of a single learner/apprentice, the Invigilator suspects that malpractice may be occurring, the Invigilator must raise concerns directly to the learner/apprentice and should continue to monitor the situation closely throughout the examination session. Full details of the suspicious activity should be documented on the NOCN Invigilator’s Log of Irregularities form (found in the Invigilator Handbook) after the completion of the examination and should include a timestamp of where suspicious activity has been identified.
- 9.11 If a learner/apprentice is continuously causing disruption and the Invigilator cannot continue with their duties effectively, the Invigilator has the option to terminate the examination. This must be done in occasions where other individuals sitting the same examination may be affected or disturbed. The Invigilator should directly address the learner/apprentice taking the examination and inform them that they are to be removed from the examination session due to disruption. This must be logged on the NOCN Invigilator’s Log of Irregularities form and sent to NOCN.

III. Emergencies and Evacuation

- 9.12 Centres/Training Providers must ensure that they have their own written policy and procedure for dealing with an emergency evacuation of an examination room, which covers all of their examination sites. Centres/Training Providers may wish to embed this within their examination and invigilation policy and procedure or have a separate policy. Centres/Training provider must ensure that all of their Invigilators are trained in dealing with an emergency and evacuation of an examination room. Where NOCN is providing the Invigilator, the Centre/Training Provider should ensure that the Invigilator is aware of the emergency and evacuation procedure, as well as a named contact who they should liaise with in case of an emergency.
- 9.13 Where an emergency arises and an evacuation is necessary, the Invigilator must follow the Centre/Training provider’s own procedure for safely evacuating all individuals from the examination room. Learners/apprentices must be supervised and under examination conditions at all times during an evacuation to ensure that they can continue their examination once they are permitted to return to the examination room, wherever possible. If, at any point, the Centre/Training Provider believes that the confidentiality or integrity of the examination has been compromised, they should notify the Regulation and Compliance Team at 0300 999 1177 as soon as it is appropriate and safe to do so for further guidance.
- 9.14 In the event of an emergency, the examination and recording must be stopped. If the examination is taking place on the NOCN Test Platform, the Invigilator should lock the test. As soon as it is safe to do so, the Invigilator should notify the Regulation and Compliance Team on 0300 999 1177 to be advised of next steps.

9.15 In each case of an emergency or an evacuation, the Centre/Training Provider must keep a written record of the events, including a statement from the Invigilator of how the confidentiality of assessment materials was kept during the emergency or evacuation. The record of each incident must be shared with the Regulation and Compliance Team *within 1 working day* of the incident via email at groupcompliance@nocn.org.uk. All records of emergency or evacuation incidents during examination sessions must also be stored for quality assurance purposes.

IV. Ending the Examination

9.16 Before ending an examination, Invigilators must provide learners/apprentices with a fifteen minute and five minute warning prior to the finish time of the examination. The Invigilator must ensure that all examination material is collected and collated (or submitted in the case of online examinations) prior to allowing learners/apprentices to leave the examination room.

9.17 At the finish time of online examinations, learners should be logged out of their examination session. Where exams are remotely invigilated, the recording of the session will be stored in the applicable platform/software. Recordings will be stored by NOCN for 30 days following the date of the examination for quality assurance purposes.

9.18 An Invigilator for an examination which forms part of an End Point Assessment should consult the relevant Assessment Plan for specific guidance on instances where apprentices may choose to finish their assessment early. In these instances, the Invigilator must document the request, ensure that the apprentice understands the implications of ending an assessment early, and may suggest the assessment continues.

9.19 At no point can the Invigilator inform a learner/apprentice of whether they have passed or failed the examination. Learners/apprentices *must* be aware that only NOCN can confirm whether the learner has in fact achieved or not achieved the examination.

9.20 Unauthorised marking of examination papers by the Centre/Training Provider is malpractice, unless this is a specific requirement of the qualification being examined. For further information, please refer to the NOCN Malpractice and Maladministration Policy and Procedure.

V. Leaving the Examination Room

9.21 Learners/apprentices are not permitted to leave the examination room until at least twenty minutes of examination time has elapsed (other than in an emergency/medical situation, or where they have been provided authorisation) and may not leave in the last ten minutes of the examination. For examinations which are 30 minutes in length or less, learners/apprentices are not permitted to leave the examination room until the full examination time has elapsed.

9.22 Learners/apprentices who have been provided authorisation to leave the examination room temporarily must be accompanied by a member of Centre/Training Provider staff. Remotely invigilated learners are not permitted to leave the examination room, unless a reasonable adjustment has been approved, or in an emergency or medical situation.

9.23 Where learners/apprentices have completed their examination, and are permitted to leave before the finish time, they must be instructed to do so quietly, without causing undue distraction to others. If learners/apprentices leave the examination room unaccompanied, they *must not* return to the examination room until the examination session has concluded.

9.24 Where required for the examination, the Invigilator must ensure that the Invigilator sections of the learner/apprentice's examination paper or response sheet are fully completed and signed by both the Invigilator and learner/apprentice *before* they leave the room.

10. Additional Guidance Regarding Invigilation of Online Examinations

I. Remote Invigilation

- 10.01 Centres are only permitted to conduct their own remote invigilation following written approval by NOCN. This will be applied on an individual qualification basis. Once approved, all sessions must be conducted using NOCN's approved systems and processes. NOCN will deem a Centre non-compliant if they conduct remote invigilation without approval or if they fails to follow NOCN's processes.
- 10.02 To ensure that Invigilators can perform their role in a compliant manner, they must be comfortable with the number of learners that they are invigilating. NOCN recommends that additional invigilators are used where there is more than 1 learner present, unless the Invigilator is competent at concurrent remote invigilation, either by offsetting the assessment starts or by starting a number at the same time.
- 10.03 Where sessions are remotely invigilated, it is important that invigilators have sufficient understanding of the systems and processes which must be utilised. Further guidance on the procedures regarding remote invigilation can be found within the NOCN Invigilator Handbook. In addition, NOCN has produced a series of training and support videos to support centres, which will be provided upon a Centre's approval of remote invigilation.
- 10.04 Where NOCN conducts remote invigilation on behalf of a Centre, NOCN will perform the role of the Invigilator as outlined within this policy and procedure.

II. Observe, Record and Review (ORR) Invigilation

- 10.05 Observe, Record and Review (ORR) is a remote invigilation option whereby a Centre can conduct a remotely invigilated exam for up to 20 learners, with a Centre-appointed Invigilator present.
- 10.06 The role of the Invigilator in ORR exams is no different to their role in any other form of NOCN permitted remote invigilation. All checks and procedures should be followed in accordance with this policy and the Invigilator Handbook.
- 10.07 There are additional checks undertaken by NOCN upon reviewing ORR examinations. Learners are expected to:
- a) Upload a photo of their ID document.
 - b) Complete a 360° recording of their environment (known as a room sweep).
- 10.08 To safeguard the integrity of the assessments where ORR is used, all observed sessions will be recorded and reviewed by NOCN to ensure that no incidents or suspected cases of malpractice has taken place. Please refer to 10.14 - 10.16 for further guidance. Despite this, it is the responsibility of the Invigilator to highlight to NOCN any suspicious activity which may constitute as malpractice in line with the NOCN Malpractice and Maladministration Policy and Procedure and Appendix 11 of the NOCN Invigilator Handbook. Where suspicious activity is identified by the Invigilator, a formal log of this must be reported to NOCN using the form in Appendix 4.
- 10.09 NOCN has produced additional guidance, including mandatory test requirements to support the delivery of ORR examinations. This can be found in the NOCN Invigilator Handbook. The guidance also contains information which must be provided to learners prior to their examination, in accordance with this policy and procedure.

III. Record and Review

- 10.10 Record and Review is an invigilation method whereby learners/apprentices undertake a recorded examination on NOCN's Test Platform, invigilated live by AI and subsequently reviewed by NOCN. Examinations conducted via this method are subject to all applicable conditions within this Policy and Procedure.
- 10.11 Learners/apprentices must complete all mandatory checks according to the instructions on the Test Platform. Failure to do so will result in their examination result being flagged and may be voided through the review process.
- 10.12 In addition to flagging recordings which do not include completed mandatory pre-examination checks, in line with the NOCN Malpractice and Maladministration Policy and Procedure and the Mandatory Test Requirements outlined in Appendix 11 of the Invigilator Handbook, NOCN's AI Invigilator will flag any of the following to be reviewed as suspected malpractice:
- a) An unusual/unacceptable level of background noise.
 - b) Instances where a learner/apprentice covers, obscures or turns off their camera.
 - c) Leaving the view of the camera.
 - d) Communicating with other people.
 - e) Use of unauthorised devices and materials, including access to notes, textbooks or the internet where these are not permitted.
 - f) Erratic eye movement which may suggest looking at unauthorised material or devices.
- 10.13 To safeguard the integrity of the assessments where Record and Review is used, all recordings will be reviewed to verify ID requirements and ensure that these have been met.
- 10.14 NOCN will review all flags made by the Test Platform of potential malpractice, as well as a sample of learners whose sittings have not raised any flags. The review will take place by NOCN prior to results release. Results will remain as provisional until the review stage of the invigilation process has been completed. The review will confirm whether all examination conditions and requirements have been met through the footage captured.
- 10.15 NOCN aims to review all recordings and confirm results within *2 working days* of the examination date. Please note that this timescale may be required to be extended in some instances, such as if further checks are required or if malpractice is suspected by NOCN. Where this is the case, NOCN will inform the Centre/Training Provider.
- 10.16 If following the review, a result is required to be amended, the Centre/Training Provider will be notified in writing via email. The NOCN Malpractice and Maladministration Policy and Procedure will be followed in instances of suspected malpractice, including the implementation of any Sanctions.
- 10.17 It is the responsibility of the Centre/Training Provider to ensure that learners and apprentices are aware of NOCN's guidance in relation to examination conditions and what constitutes as malpractice.

IV. Loss of Internet Connection or Power

- 10.18 Where available, NOCN's online testing platforms will be configured to attempt to save learner/apprentice's completed responses if there is a loss of internet connection or power during their examination. The attempt time and parameters of where the attempt is possible will differ for each testing platform. Please refer to the relevant test platform user guide for further information.

10.19 Where a test platform has not been able to recover responses after a loss of internet connection, the learner/apprentice will not be able to complete their examination and a new examination will need to be assigned. Where this is the case, please contact NOCN for further guidance.

10.20 To mitigate any risks regarding losing examination responses, examination venue(s) should have a strong and reliable internet connection.

V. Switching from Online to Paper-Based

10.21 Some NOCN examinations can be switched from online to paper-based through NOCN's online testing platform. This does not apply to examinations for End Point Assessments which must be sat online, unless a Reasonable Adjustment is approved.

10.22 Centres are able to switch from online to paper-based modes by printing examination papers directly from the system. Where this is the case, centres must ensure that the paper examinations are handled and stored as described in 4.05 – 4.09.

10.23 Once examinations have concluded, the results from the paper-based examination must be uploaded to the test platform system on the same day as the examination. Completed examination papers must be stored securely until the period that the learner's responses have been uploaded to the test platform. Access to both complete and incomplete examination papers must not be given to any individual involved in the teaching, assessing or quality assurance of relevant qualifications.

10.24 Once the learner's responses have been uploaded and submitted to NOCN by the Centre, the Centre must ensure that an authorised member of Centre staff destroys all copies of the examination papers.

VI. Offline Examinations

10.25 Where examinations are required to be taken offline, the Invigilator must ensure that an appropriate internet connection is in place prior to the start time of the examination to download the relevant examination paper(s) onto the learner's computer or laptop. All examinations in relation to End Point Assessment must be conducted online. It is important that the Invigilator downloads the correct examination for each learner's computer or laptop, in line with the Centre's examination seating plan. Examination papers must not be downloaded onto a learner's computer or laptop until *2 working days* prior to the examination date.

10.26 Once the examination session has concluded, the Centre must ensure that the internet connection to all computers or laptops used in the examination session is restored to allow for the learner's responses to be uploaded to the testing platform's server. Completed responses must be uploaded to NOCN via an internet connection on the same day of the examination to allow for the results to be processed.

10.27 Specific guidance regarding how to download and upload examination papers for the online test platform is available from NOCN upon request.

11. Monitoring of Centre Examination and Invigilation Practices

11.01 As part of its policy and procedure for monitoring invigilation practices, NOCN conducts both announced and unannounced visits to monitor practices regarding the security of examination material and the conduct and invigilation of examinations.

- 11.02 Where this occurs, NOCN will provide its representative with an ID badge, or a letter of authority, to identify themselves to the Centre/Training Provider. Centres/Training providers must ensure that they co-operate fully with NOCN and its representatives at all times, including on unannounced visits. Failure to provide access to NOCN or its representatives by a Centre will result in the application of Sanctions, in line with the NOCN Risk-Based Approach to Centre Quality Monitoring Policy and Procedure.
- 11.03 If NOCN attempts to conduct a monitoring visit to a Centre to observe examination practice and is unable to do so due to the Centre not informing NOCN of a change regarding the examination time, date, venue or any other subsequent change, the Centre will be invoiced the cost of an additional quality assurance visit, in line with the NOCN Fees and Charges.

I. Cancellation or Amendment of Examinations

- 11.04 Where a Centre is required to cancel an examination session, or amend the site or times of the examination, they must confirm this in writing as soon as they are able to nocn@nocn.org.uk, as well as providing the rationale for the change or cancellation. This includes situations where an examination session does not go ahead due to the absence of learners. Failure to timely notify NOCN of a cancellation or amendment of an examination session may incur a charge.
- 11.05 Any changes to examination bookings as part of End Point Assessment must be notified to the End Point Assessment Team as soon as possible. NOCN will process the cancellation in line with the contract for EPA services.
- 11.06 If paper examination papers have been provided by NOCN, any printed or paper-based materials must be either securely destroyed or returned to NOCN via recorded delivery. NOCN does not offer refund of registration or examination booking fees.

II. Examination Malpractice

- 11.07 Centres/Training Providers must ensure that all of their staff members and Invigilators receive training on their responsibilities regarding the identification, reporting and responding to acts of malpractice or maladministration.
- 11.08 If, at any point, an individual believes that the security of examination materials has been breached or is aware of any other issue that may threaten the integrity of the examination process, they must immediately notify the Head of Organisation. Centres/Training providers must ensure that, where they believe malpractice or maladministration may have occurred, that they have notified NOCN, in line with the NOCN Malpractice and Maladministration Policy and Procedure. Please refer to the NOCN Malpractice and Maladministration Policy and Procedure for further information and guidance.
- 11.09 It is important to note that incidents of suspected malpractice will not be treated as proven cases until a review has been conducted by the Regulation and Compliance Team. The Regulation and Compliance Team will follow the NOCN Malpractice and Maladministration Policy and Procedure in reviewing evidence to reach a judgement on whether malpractice has occurred.
- 11.10 Where malpractice is identified in line with the NOCN Malpractice and Maladministration Policy and Procedure, NOCN will consider whether the examination result is required to be amended or voided, NOCN also reserves the right to disqualify an individual from the completion of an individual assessment or all NOCN assessments. Any registration fees paid for will be non-refundable. Where applicable, penalties will be applied to learners/apprentices and there will be a charge to repeat any assessments where it has been decided that malpractice has occurred in a previous assessment.

12. Document Control

12.01 This policy will be reviewed and updated where necessary to reflect updated legislation, customer feedback, improvements of operation and changes to the regulatory environment. If you have any queries regarding the contents or the use of this policy, please contact NOCN via email at groupcompliance@nocn.org.uk.

12.02 All NOCN policies and procedures are signed off by the NOCN Responsible Officer. The latest versions of which can be found on our website here: <https://www.nocn.org.uk/support/nocn-group-policies/>

Appendix 1 – Log of Invigilator Training

Information

This log must be used (or a Centre/Training Provider devised one) to document the list of invigilators within an organisation and to confirm that they have been trained in their role. Each Invigilator must sign prior to their invigilation of a NOCN examination. Invigilators must also have refresher training and sign at least once annually. This log must be stored and be provided to NOCN upon request.

Invigilator Declaration

By signing below, you are confirming that:

- You have received training on NOCN invigilation requirements.
- You are read and understood the NOCN Examination and Invigilation Policy and the NOCN Invigilator Handbook.
- You will comply with the regulations set by NOCN regarding invigilation *at all times*.

	Invigilator Name	Name of Trainer	Date Training Received	Invigilator's Signature
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				

Appendix 2 – Examination Room Checklist

This checklist must be completed for each proposed examination room. Only rooms which pass this assessment can be used. The Invigilator must check the room prior to *each* examination to ensure that requirements are met. A new form only needs to be completed if there have been changes.

All checklists must be stored and be made available to NOCN upon request. The Invigilator must also have access to, and be able to produce this form, during examinations.

Venue Address and Room No.:	
Date of Room Assessment:	
Max no. of learners/apprentices which can be seated in line with examination regulations:	
Minimum no. of Invigilators required for room:	

Room Criteria		
Is the room conducive to examination conditions e.g. quiet/minimal disruption?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Are all desks/workstations arranged in a way which complies with the minimum space requirements (as detailed within the NOCN Examination and Invigilation Policy and Procedure)? <i>Paper-based:</i> The minimum distance in all directions from centre to centre of learners'/apprentices' chairs is a minimum of 1.25 meters. <i>Online:</i> The minimum distance measured from the nearest outer edge of one screen to the next is 1.25 meters, unless monitors are positioned back to back or are separated by dividers/privacy screens.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is there a desk(s) available for the Invigilator(s) that allows all learners/apprentices to be observed at once?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Are the walls clear of material that may assist learners with their examination?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Are the 'Examination in Progress', 'Examination Notice' and 'No Electronic Equipment' posters appropriately displayed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is the emergency/evacuation procedure appropriately displayed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is a board/flipchart/whiteboard which contains all relevant information (as detailed in the NOCN Invigilation Handbook) visible to all candidates?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is a reliable clock visible to each learner/apprentice in the examination room (or is a clock displayed on a learner's/apprentice's monitor for online examinations)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is there a line of support available within the room for the Invigilator if this is required, or is there a communication device available to summon assistance?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Outcome of Assessment

If any of the above are marked as 'no' the venue/room has failed the assessment and must not be used for the examination of NOCN products.	<input type="checkbox"/>
If the above are all 'yes', then the room has passed the assessment and can be used.	<input type="checkbox"/>

Declaration

Sign below to confirm that all information on this checklist is correct and current.

Completed by:		Date Completed:	
---------------	--	-----------------	--