



## Instructions for Conducting Controlled Assessments

## Contents

Introduction to FutureQuals .....	3
Introduction .....	4
Assessment Venue Requirements .....	4
Controlled Assessment Requirements.....	6
During the assessment.....	8
Leaving the assessment room.....	9
Ending the assessment .....	9
Storage and Destruction of Confidential Materials .....	9
Unannounced Visits .....	10
Feeding back to Centres.....	11
Imposing Sanctions .....	11
Appendix 1 - Unannounced Visits to Check Assessment Invigilation .....	12
Appendix 2 – No Mobile Phones Poster .....	17
Appendix 3 - Examination in Progress Poster .....	18
Appendix 4 - Warning to Learners .....	19
Appendix 5 - Emergency Evacuation Procedure .....	20
Appendix 6 – Attendance Register .....	21

## Introduction to FutureQuals

FutureQuals is forward thinking, learner and customer-focussed, and committed to delivering inspiring learning and skills.

### **Our Values**

“We are a Visionary, Supportive, Innovative and Professional Awarding Organisation that is committed to excellence”.

### **Our Vision**

“We envisage a place in which every learner realises their full potential”

### **Our Mission**

“To provide respected and valued qualifications and assessment to enable quality assured learning”

FutureQuals is recognised to deliver regulated qualifications by Ofqual in England, CCEA Regulation in Northern Ireland, the Scottish Qualifications Authority (SQA Accreditation) and Qualifications Wales to offer a comprehensive and diverse range of qualifications across a wide range of vocational areas many of which are transferable across industries and sectors.

A full list of FutureQuals current qualifications can be accessed at [www.futurequals.com](http://www.futurequals.com)

We have developed a genuine understanding and insight into all types of educational organisations, which ensures that we are highly responsive to their needs. We offer a wide range of benefits and support for our learners, our approved centres, and their assessment and quality assurance teams.

FutureQuals offers a wide range of benefits and support for all of our educational products and services including:

- Vocational qualifications accredited by the UK regulators and recognised by employers, universities and professional bodies
- 24/7 online management systems for the registration of learners, ensuring highly efficient services and access to assessment and results.
- A diverse range of qualifications
- A flexible approach to assessment
- A network of professionals who examine and quality assure our regulated qualifications and assessments
- Regular updates on new developments in education and training
- Unrivalled customer service support and extensive guidance materials

## Introduction

Controlled assessments are a type of formative assessment of the learning outcomes where supervision of learner assessment is required.

The term supervision means:

The simultaneous physical (or simultaneous electronic) presence of a Learner and a lecturer, supervisor, assessor, tutor or other appropriate provider of education or training provided to a Learner.

Controlled assessments cover a range of assessment methods such as; practical tasks, written questions, multiple choice/short answer and knowledge assessment tasks.

Specific requirements for these assessments such as time constraints will normally be specified in the qualification specification or the learner guidance.

These instructions contain all the necessary information to enable FutureQuals centres to conduct assessments safely, securely and efficiently.

They apply to all externally set controlled assessments and internally set and marked controlled assessments including paper-based, online and offline tests.

It is the responsibility of the Head of Centre to ensure that all assessors and invigilators are familiar with the requirements set out in this document, that they adhere to them and that the document is accessible on the day of the assessment.

## Assessment Venue Requirements

Centres are required to maintain records of how assessment venues meet these criteria, which must be made available to FutureQuals on request. False or misleading statements by the Centre in respect of assessment venues may result in immediate suspension or withdrawal of Centre Approval, and assessments may be declared void.

As part of the ongoing External Quality Assurance processes and procedures, FutureQuals will check that these requirements are being adhered to on both planned and unannounced audit visits.

Centres must ensure that assessments take place in a suitable assessment environment. Any room in which an assessment is held must provide learners with appropriate conditions conducive for taking the assessment. Particular attention should be given to conditions such as heating, lighting, ventilation and the level of outside noise. There must be a sign, clearly visible to others in the building, that an assessment is taking place.

Seating arrangements must prevent learners from overlooking the work of others in all directions. In particular, the minimum distance in all directions from centre to centre of

learners' chairs must be 1.25 metres. There should also be space for the Invigilator and any technical support required.

For written assessments, each learner should have a separate desk or table large enough to hold question papers. Learners 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 learners.

For computer-based online or offline assessments:

- the room layout must be planned to prevent screens being read by other learners
- 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 and
- a trained administrator must be available during the assessment to deal with any technical queries that may arise.

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

The following items must be on display in the assessment room:

- A poster advising learners that mobile phones should be switched off
- Assessment and warning notice for learners
- Centre appeals procedure
- Emergency/evacuation procedures

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

There should be a reliable clock (or other suitable time keeping device, e.g. time displayed via a computer screen) which must be visible to each learner in the assessment room. The clock/display must be large enough for all learners to read clearly.

There should be a space at the front of the assessment venue where the invigilator (s) can sit. Where possible for online/offline assessments, at least one replacement/spare PC should be available in the event of equipment failure.

Example posters, assessment notice and the emergency/evacuation procedures can be found in Appendices 4, 5, 6 and 7.

## **Controlled Assessment Requirements**

Both external and internal assessments are subject to controlled condition requirements. All formal assessment of learner performance contributing to the achievement of the qualification must comply with those controlled conditions.

Centres will ensure that the learner is aware that they are being formally assessed. They should have been deemed ready for assessment and this should have been discussed and agreed with the learner.

Learners must be made aware of the nature and format of assessment and what to expect in advance of the assessment taking place. This will include confirmation of the standards at the level, which they will be expected to demonstrate in realistic tasks, the assessment procedures, assessment duration and assessment conditions.

Learners should have been given an opportunity to familiarise themselves with any sample assessment materials (SAMs) and, for online/offline tests, the on-screen system in advance of the formal assessment session.

If applicable, learners must be made aware that although they may be assessed in a group context for certain tasks, they are being individually assessed against the assessment requirements, so must ensure that they are actively participating in the discussions, in order to demonstrate the relevant skills at the level.

### **Assessment conditions:**

Learners must be provided with a quiet environment which will be undisturbed for the duration of the assessment. They must have direct access to the fully operable on-screen system, offline system, or the paper-based material, which must be secured and returned (if applicable) immediately following the assessment session.

Learners must be directly supervised throughout an assessment session to reduce the risk of plagiarism and malpractice. Learners must be seated separately and aware that it is not permitted to interact with anyone other than the invigilator, if necessary. Seating plans must be recorded and maintained. Learners are not permitted to use mobile devices, or to access any resources not directly provided for the purposes of the assessment.

The invigilator is responsible for ensuring that all of these conditions are met and must confirm learner identity prior to commencement of the test and complete the attendance register (See Appendix 8). The register will confirm compliance with test conditions.

### **During the assessment**

The Invigilator to learner ratio for paper-based tests should be 1:30 maximum and for on screen tests, a maximum of 1:20.

When only one invigilator is present, he or she must be able to get help easily without leaving the room and without disturbing learners.

A centre must have systems and checks in place to ensure that an assessment is not undertaken or invigilated by anyone who has a personal interest in the result of the assessment.

An invigilator cannot be a current learner at the centre and any relative, friend or peer of a learner in the exam room must not be the sole invigilator.

Any potential or actual conflicts identified by a centre must be reported to FutureQuals before the test in order that alternate arrangements can be made.

All personal belongings (e.g. bags, coats etc.) must be left, at the learners own risk, outside of or at the front of the exam room.

Before the assessment starts, the assessment Invigilator **must**:

- Check that the relevant notices are displayed and that there is a clock which is visible to all learners
- Confirm learner identification by checking that all learners have the required identity documents and that the relevant section of the Attendance register has been signed to show attendance and to confirm the identification seen. Accepted forms of identification include: signed valid passport of any nationality, signed UK photo driving licence, UK biometric residence permit, valid warrant card issue by HM Forces or the Police, other photographic ID card, e.g. employee ID card (must be current employer), student ID card, travel card
- Confirm that there are no conflicts of interest between the learners and the Invigilator
- Advise learners 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
- Make sure that the seating arrangements meet FutureQuals assessment venue requirements
- Inform learners that they must follow the regulations of the assessment (for paper based or for onscreen assessments)
- Advise learners of emergency/evacuation procedures

The Invigilator must not be the class Tutor unless another independent Invigilator is present

The Invigilator must advise learners that:

- They must write in blue or black ink

- All mobile phones, or other electronic devices, must be switched off
- Any course material should be removed from their desk, and placed at either the front or back of the room
- They must 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 learners when they may begin
- Specify the start and finish time of the assessment, and the earliest time that learners can leave the assessment room
- Remind learners that they cannot communicate in any way with, ask for help from or give help to another learner while they are in the assessment room

The Invigilator **must not**:

- Make any comment where a learner 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 contact FutureQuals
- Give any information to learners about possible mistakes in the question paper, unless there is an erratum notice, or permission has been given by FutureQuals
- Comment on the content of the question paper
- Offer any advice or comment on the work of a learner

### During the assessment

Invigilators must supervise learners 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 (e.g. 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
- Invigilators must give frequent time checks
- Invigilators must monitor the use of ICT when assessments are on screen to ensure that learners are not accessing material or applications, or software that is not allowed.

### **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 learners. A mobile phone may be used, and must be switched to silent alert, so as not to disturb learners.

### **Leaving the assessment room**

Where learners have completed their assessment and are permitted to leave before the finish time, they must 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 learners. This is normally achieved by giving fifteen minute and five minute warnings prior to the published finish time. All externally set and marked paper based assessment papers must be collected and placed in secure storage prior to submitting to FutureQuals for marking.

At no point must any indication be given to learners 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.

Paper based assessment papers must be sent to FutureQuals within the specified timeframe and by a secure method along with a copy of the completed attendance register.

The original attendance register and seating plan must be retained by the centre for three years from the date the test is taken for all online, offline and paper based, external controlled assessments.

The Invigilator must ensure that any resources and downloads saved onto each computer system are fully removed.

### **Storage and Destruction of Confidential Materials**

Centres must be able to demonstrate that appropriate security systems are in place to prevent unauthorised access to the test/examination materials. This will be checked as part of the external quality assurance processes in place for Centre or Qualification Approval, scheduled quality assurance visits and unannounced centre visits to monitor live tests.

The contents of all materials must be treated as strictly confidential and should not be shared with anyone other than those taking or administering the assessment. Copies may

not be issued to anyone, including teaching staff. FutureQuals must be notified immediately if any known or suspected infringement of these conditions takes place.

Question papers and any other confidential material, e.g. answer booklets, must be stored securely at the centre's registered address in a safe or secure lockable cupboard with restricted access (limited key holders) in a secure locked room.

Should any breaches of this requirements be identified, a sanction may be put in place to protect the interests of the learners and could potentially lead to the invalidation of assessment results.

Should the centre be found responsible for compromising the security of the assessment then they may be charged for redevelopment costs.

Details of the sanctions that could be applied can be found in the FutureQuals Sanctions Policy.

All question papers issued by FutureQuals for an assessment must be returned as instructed, including any unused papers or materials.

### **Unannounced Visits**

FutureQuals may operate a system of unannounced visits in order to ensure that centres are undertaking tests in line with our requirements and to prevent malpractice.

These visits provide ongoing confidence in our qualification as well as maintaining and improving quality. Such checks create the opportunity to comment on good practice and also identify areas for improvement.

Centres are "spot checked" as part of our risk based approach to the monitoring of approved centres. We calculate risk using a number of factors including, the volume of learner registrations and other statistical data and the number of incidents reported to us by centres and our External Quality Assurers.

Where we have concerns about the ability of a Centre to meet the terms and conditions of the Centre Contract, quality assurance requirements or financial obligations an External Quality Assurer or other FutureQuals representative we may undertake an unannounced visit to determine the level of risk to the integrity and validity of the awards we make.

Centres must provide the person carrying out the visit, upon request, access to premises, people and records relating to learner assessments, achievement and internal quality assurance.

If a Centre fails to provide access, FutureQuals will suspend the Centre's approval status subject to further checks.

### **Feeding back to Centres**

Centres will receive feedback from the unannounced visit within a maximum of 10 working days. Any actions to make improvements and/or any good practice observed will be captured on the unannounced visit form (Appendix 1).

### **Imposing Sanctions**

On completion of an unannounced visit, FutureQuals reserves the right to impose sanctions or special conditions on Centres, Centre staff and/or learners to safeguard the award of achievement and protect their interests. Any sanction proposed will be reviewed by the Head of Quality before being applied in line with our published Sanctions Policy.



## Functional Skills

### Externally Marked Assessments Observation Checklist

This checklist should be used by a Quality Representative undertaking unannounced visits on assessment invigilation. Completed forms must be returned to the Head of Quality.

Centre:		
Quality Representative details:		
Site Visited (address):		
Date and Time of assessment:		
Duration of Observation Visit (hours):		

A	Arranging the Assessment Room	'YES' Please tick  ✓	Comments
1.	Check that assessment room walls have been cleared of any material that may assist learners		
2.	Check that provider has the following on display: <ul style="list-style-type: none"> <li>• Poster advising learners that poster saying that mobile devices (phones, iWatches etc.) are not allowed in the exam room</li> <li>• Examination notice for learners</li> <li>• Centre Appeals procedure</li> <li>• Emergency/Evacuation procedures</li> <li>• A clock that all learners can see clearly</li> <li>• A board showing the centre number, relevant assessment information including; start and finish time of each assessment</li> </ul>		

3.	Desks/computers are correctly spaced		
4.	There is a sign clearly visible to others in the building that an examination is taking place		
5.	Learners have access to the required data files ( <i>ICT Assessments only</i> )		
6.	There is IT Support available for the set up and duration of the test		

<b>B</b>	<b>Identifying Learners</b>	✓	
7.	The identities of all candidates are checked using photographic ID (e.g. passport, driver's licence or college issued ID card) <b>and</b> the relevant Attendance Register has been completed to identify attendees at the assessment		
8.	Learners unable to provide the required identity documents and photograph are advised that they <b>cannot</b> sit the assessment		

<b>C</b>	<b>Before the Examination Starts</b>	✓	
9.	There is a second Invigilator present/available in case of emergencies, illness and toilet breaks		
10.	The Invigilator to Learner ratio is within the guidance of 1:30 for paper-based assessments 1:20 for on-screen English and maths assessments and 1:10 for on-screen assessments for ICT only		
11.	Learners told they were subject to examination conditions		
12.	Learners' attention drawn to: <ul style="list-style-type: none"> <li>• Emergency/Evacuation procedures</li> <li>• Poster advising learners that mobile phones, tablets, media players or other data storing devices must be switched off and not used during the examination</li> <li>• Examination Notice for Learners</li> <li>• Centre Appeals Procedure</li> </ul>		
13.	Learners told that they must place any unauthorised materials, including course notes, at the front, or back of the room and only equipment required for the assessment is available		
14.	Learners told when they can begin, how much time they have, and when they can leave the examination room; a minimum of 30 minutes after the start, (unless for a medical emergency).		

15.	Learners who arrive more than 30 minutes after the examination starts, told they cannot sit the examination		
<b>Paper –Based examinations</b>			
16.	Envelope(s) containing the assessment papers opened in the assessment room		
17.	Learners told: <ul style="list-style-type: none"> <li>To enter their personal details on to the learner information sheet (<i>if this has not already been completed</i>)</li> <li>To read the instructions on the front of the response sheet</li> </ul>		
18.	Learners reminded to use on blue or black ink ( <i>pens issued if applicable</i> )		

<b>D</b>	<b>During the Examination</b>	✓	
19.	Invigilator vigilant throughout. Supervised the learners <b>at all times</b> to prevent cheating and distractions. This included walking around the examination room.		
20.	Invigilator did <b>not</b> give any information to learners about the content of any question or answer on the paper or the requirements for answering particular questions.		
21.	Invigilator did not carry out any other task whilst in the assessment room.		
22.	Learners given a 15 minute and 5 minute warning before the end of the assessment and advised to stop writing/typing at the end of the assessment.		
23.	<b>Computer-based assessments.</b> Invigilator monitored the use of Internet and Email. At no time, except as required for ICT Functional skills, should learners access these programmes. Any use of Internet and Email should be reported to FutureQuals and the learner warned that this may lead to disqualification.		
24.	In the event of an emergency, the Emergency process was implemented.		

<b>E</b>	<b>At the end of the Examination</b>	✓	
25.	Invigilator ensured that learners leaving before the finish time did so without causing distraction to others.		
26.	Invigilator collected all assessment papers and response sheets ( <b>paper-based examination only</b> ), ensuring they were kept in a secure place before being sent for processing.		

27.	The Attendance Sheet is retained according to guidance or returned to FutureQuals if any issues occur that FutureQuals or the marker need to be made aware of.		
28.	All resources and downloads saved to the computer system have been fully removed by the Invigilator.		
<b>Additional Comments:</b>			

**Actions/Recommendations for Centre**

	(add additional rows as necessary)	By Whom	By When
	Actions		
1			
2			
3			

	Recommendations	By Whom	By When
1			
2			
3			

Good Practice Identified:

Signature of individual conducting the unannounced visit:	Signature of Centre Staff:
Print Name:	Print Name:



**NO MOBILE PHONES,  
IPODS, SMART WATCHES,  
MP3/4 PLAYERS  
NO POTENTIAL  
TECHNOLOGICAL/WEB ENABLED  
SOURCES OF INFORMATION**

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

**DISQUALIFICATION**

**from your examination and your overall qualification.**

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



**QUIET**  
**EXAMS IN PROGRESS**

- 1. You must be on time for all your assessments.**
- 2. You must not become involved in any unfair or dishonest practice in any part of the assessment.**
- 3. You must not:**
  - sit an assessment in the name of another Learner;**
  - have in your possession any unauthorised material or equipment which might give you an unfair advantage.**
- 4. Possession of a mobile phone or other unauthorised material is breaking the rules, even if you do not intend to use it, and you will be subject to penalty and possible disqualification.**
- 5. You must not talk to, attempt to communicate with or disturb other Learners once you have entered the examination room.**
- 6. You must follow the instructions of the invigilator.**
- 7. If you are in any doubt speak to the invigilator.**

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

## Appendix 5 - Emergency Evacuation Procedure

The Invigilator MUST take the following actions in an emergency such as a fire alarm or bomb alert;

- Stop the assessment.
- Collect the attendance register (to ensure that all learners are present).
- Evacuate the examination room in line with the instructions given by the appropriate authority.
- Advise learners to leave all assessment materials in the room.
- Learners should leave the room in silence.
- Make sure that the learners are supervised as closely as possible while they are out of the examination room to ensure that there are no discussions about the assessment.
- Make a note of the time and duration of the interruption.
- Allow the learners the full working time set for the examination.
- If there are only a few learners, consider the possibility of taking the learners to another suitable examination room.
- Make a full report of the incident and of the action taken, and send to FutureQuals.

Appendix 6 – Attendance Register



Cohort	
Centre	
Date	

Surname	Forename(s)	Learner Number	Learner Signature	Type of Identification provided

By signing the register, you are confirming that the test has been taken in line with our requirements.

Invigilator Name		Invigilator Signature		Date	
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# FutureQuals<sup>™</sup>

INSPIRING LEARNING AND SKILLS

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