

# **EX6**

# **Instructions for the Conduct of Examinations and Other External Assessment**

## Contents

<b>Section 1: Paper-based Examinations</b>	<b>3</b>
1. Invigilation	3
2. Centre Responsibilities	3
3. Invigilators	4
4. Examination Room Arrangements	5
5. Examination Rules for Candidates	7
6. Calculators and Dictionaries	8
7. Misconduct, Maladministration and Malpractice in Examinations	8
8. Reasonable Adjustments	10
9. Requests for Special Consideration	10
10. Despatch of Examination Work for Marking	11
11. Return of Question Papers	12
12. Awarding Organisation Auditors	12
13. Other External Assessment	12
<b>Section 2: Centre-Invigilated On Screen Examinations</b>	<b>13</b>
14. Invigilation	13
15. Centre Responsibilities	13
16. Invigilators	13
17. Examination Room Arrangements	14
18. Examinations Rules for Candidates	16
19. Calculators and Dictionaries	17
20. Misconduct, Maladministration and Malpractice in Examinations	17

21.	Reasonable Adjustments	19
22.	Requests for Special Consideration	19
23.	Completing Onscreen Tests	19
24.	Awarding Organisation Auditors	19
25.	Other External Assessment	20

**Section 3: Online Proctored Examinations 21**

26.	General	21
27.	Centre Responsibilities	21
28.	Candidate Responsibilities	22
29.	Awarding Organisation Responsibilities	24
30.	Unplanned Breaks/Emergencies	24
31.	Voided Assessments	24

**Appendix 1: Self-help checklist for Examination Officers  
277**

**Appendix 2: Self-help checklist for Invigilators  
288**

## Section 1: Paper-based Examinations

### 1. Invigilation

All our written external examinations must be subject to invigilation.

These instructions set out the procedures to be followed in Centres where our examinations are held. These regulations must be made available to each person concerned with their conduct and invigilation, in good time before an examination. These regulations must be available for reference during the examination itself.

### 2. Centre Responsibilities

Heads of Centre are responsible, usually through the Examinations Officer, for the proper conduct of all Skills and Education Group Awards examinations in accordance with these instructions.

They must ensure that:

- 2.1 questions set for examinations are not seen by or communicated to the candidates, their tutors/assessors or any other person before the time appointed;
- 2.2 no unfair means are used by candidates during examinations;
- 2.3 no one is permitted to assist any candidate during the examinations, or to make alterations, additions to, or deletions from a candidate's work;
- 2.4 candidates presenting themselves for examinations are properly identified e.g. by supplying acceptable ID;
- 2.5 invigilators do **NOT** allow candidates to sit a written examination using another candidate's identity. Any candidate who is found to have entered under the incorrect ID will have their examinations results declared **VOID**.
- 2.6 Where a Centre is permitted to print examination papers, these must be of a good print quality. **Failure to ensure a satisfactory print quality may result in Skills and Education Group Awards not being able to process examination results.** Where print quality is a reoccurring concern, Skills and Education Group Awards may require the Centre to move to online exams.
- 2.7 Exam papers are stored securely:

- 2.7.1 In the case of papers printed and dispatched by Skills and Education Group Awards, the exam papers must remain sealed and be securely stored until the day of the exam.
- 2.7.2 In the case of Centre-printed exam papers, these will be available to download 48 hours before the scheduled start time of the exam. Once printed, these documents must be placed in a sealed envelope and securely stored.

### **3. Invigilators**

- 3.1 Centres must appoint invigilators to conduct all external examinations set by ourselves. Invigilators are responsible for the conduct and integrity of examinations, the accurate observance of the time allocated for the examinations, and full compliance with these instructions.
- 3.2 The Centre must ensure that a sufficient number of invigilators are present to perform their duties adequately.
  - 3.2.1 At least one invigilator must be present in the examination room at all times.
  - 3.2.2 If only one invigilator is appointed, arrangements must be made for another person to be available and on call.
  - 3.2.3 For paper-based exams there must be two invigilators present when the number of candidates exceeds thirty.
  - 3.2.4 For online or practical tests there must be at least one invigilator per fifteen candidates.
- 3.3 An invigilator must not be the teacher, tutor, assessor or trainer of the class or cohort of candidates taking the examination, nor a relative, friend or colleague of any candidates.
- 3.4 An invigilator must not leave candidates unattended at any time.
- 3.5 An invigilator must not undertake any other activity whilst invigilating.
- 3.6 An invigilator and the Examinations Officer must ensure that candidate scripts remain confidential and must not allow reading or tampering of completed scripts before dispatch to Skills and Education Group Awards.

- 3.7 We do not accept responsibility for payment of fees or expenses to invigilators.
- 3.8 The Centre is responsible for ensuring that Invigilators are trained to undertake their role.

#### **4. Examination Room Arrangements**

- 4.1 The envelope containing examination papers and answer sheets must be opened by the Invigilator in the examination room in the presence of the candidates.

Each candidate will be allocated a candidate registration ID. Each candidate must be seated sufficiently apart to prevent collusion, ideally at a separate desk / table / workstation.

- 4.2 All the relevant examination materials (e.g. answer books and additional stationery) as prescribed by Skills and Education Group Awards must be made available to candidates in sufficient quantity.

4.2.1 Where used, every additional sheet of paper must bear the candidate's name and registration ID and must be attached securely to the answer book.

- 4.3 Seating arrangements must prevent learners from overlooking the work of others. The recommended distance in all directions between chairs is 1.25 metres.
- 4.4 Only those candidates who have been properly entered for the examination should be allowed to enter the examination room. There should be a clearly visible sign to others in the building that an assessment is taking place.
- 4.5 Candidates must not start writing until instructed to do so by the Invigilator.
- 4.6 A clock must be made available in each examination room in a position that can be easily seen by candidates.
- 4.7 Any visual material (e.g. maps or diagrams) which could be of assistance to candidates must be removed from the examination room.
- 4.8 Mobile phones, smart watches or any other internet-enabled devices are not permitted in the examination room.

- 4.9 A candidate may not be admitted to the examination room once the examination has started. Candidates who arrive late must be recorded as absent on the Attendance Register.
- 4.10 Except in the case of emergency, no candidate should be permitted to leave the examination room before thirty minutes of the timetabled examination have elapsed. Normally, a candidate who has left the examination room may not return .
- 4.11 Where a candidate must leave the room with the intention of returning, they must be supervised at all times and the remaining Invigilator must remove the candidate's script from the desk to prevent copying of any answers by other candidates and in order to maintain the security of the examination.
- 4.12 The Invigilator is required to give undivided attention to all examinations and to ensure that no candidate uses unfair means. The Invigilator must not distract a candidate or make observations on the work of any candidate.
- 4.13 Attendance Register (EX4). A copy of the attendance register must be retained by the Centre. This document must include a log of any disruptions or candidate complaints. Any additional sheets required must be attached securely. The Invigilator (and any assistant invigilator/s) must sign the EX4 and forward it with the examination scripts to the Examinations Officer.
- 4.14 Unplanned Breaks/Emergencies
- 4.14.1 In the event of an emergency, where the examination is interrupted and cannot continue, the Invigilator must follow the Centre's evacuation rules. If the exam cannot be resumed, partially completed scripts must be collected and the Exams Officer must contact Skills and Education Group Awards for advice regarding further arrangement. Where required, arrangements will be made for rescheduling.
- 4.14.2 Where interruptions to the examination are resolved by the Centre and the test environment has remained secure, the examination can continue with the timer starting at the point that the exam was interrupted.
- 4.14.3 In both cases a note of the time, reason and duration of the interruption must be reported to Skills and Education Group Awards.
- 4.14.4 Centres are reminded that support for external assessments is only available from Skills and Education Group Awards during our

published opening hours. Skills and Education Group Awards will be unable to offer support outside of our published opening hours, Centres will be informed of any planned Skills and Education Group Awards Office closures in advance.

## **5. Examination Rules for Candidates**

**Before each written examination the Invigilator must read the following examination rules to the assembled candidates:**

- 5.1 Mobile phones, smart watches, headphones, ear buds or any other internet-enabled devices are not permitted in this examination room. If you have any of these devices, you must switch them off and bring them to the front desk now.
- 5.2 If you have any books, notes or paper, other than those allowed or supplied to you for this exam, you must hand them in now.
- 5.3 Please remember that all rough work and calculations must be handed in with your answer paper. Make sure you draw a line through rough work and calculations when they are NOT part of your answer. The use of correction fluid is NOT allowed.
- 5.4 You should take care to answer in ink or pencil where instructed to do so by the paper.
- 5.5 Please remember that no speaking or communication with another candidate is allowed and no explanation of the meaning of an examination question can be given. If you wish to ask any questions or need extra stationery, you should attract the attention of the Invigilator by raising your hand.
- 5.6 If you complete your work before the end of the scheduled time you may hand it in and leave the room quietly if the invigilator permits you to do so. If you hand in your paper and leave the room, you will not be allowed to resume this examination under any circumstances.
- 5.7 All your work, unless previously handed in, will be collected at the end of the time allowed for the examination. No work is to be taken out of the examination room.
- 5.8 Please read the instructions on the question paper very carefully before answering the questions and remember to record your name and registration ID on all your examination work including any supplementary sheets you may use.



- 5.9 Additional paper is provided if required. Please ensure you complete the necessary details on any continuation sheets that are used.
- 5.10 Please do not deface your paper with any unnecessary comments or drawings. Your paper may be declared void as a result.

## **6. Calculators and Dictionaries**

- 6.1 Electronic calculators may be used in all examinations where they are explicitly allowed. The candidate is responsible for the power supply and satisfactory working condition of the calculator and submissions based on faults in either will not be accepted. Calculator cases, operating instructions, programming software (in the case of programmable calculators) will not be allowed in the examination room. Where the calculator has a data storage facility, this must be cleared prior to the examination and the retrieval function must not be used. Candidates should be reminded of the need to include in their answers the steps in a calculation.

Calculators on mobile phones, smart watches or any other internet-enabled devices must not be used.

- 6.2 Dictionaries provided by the Centre are permitted for Road Haulage and Passenger Transport examinations.

## **7. Misconduct, Maladministration and Malpractice in Examinations**

- 7.1 A candidate is in breach of our rules of examination in the following circumstances:
- 7.1.1 the candidate takes into the examination room any notes, drawings or other written matter, or documents of reference other than those specifically permitted for the examination in question;
  - 7.1.2 the candidate attempts, on whatever pretext, to copy from or to communicate, by word, in writing or by any other means with another candidate;
  - 7.1.3 the candidate deliberately causes a disturbance during the examination or when leaving the room early through e.g. rowdiness or violence;
  - 7.1.4 the candidate defaces an examination paper, their own script or that of any other candidate in such a way that answers are illegible, or any comments or drawings cause offence;

- 7.1.5 the candidate writes answers in pencil where they have been instructed by the paper to write in ink.
- 7.1.6 the candidate writes answers in ink where they have been instructed by the paper to write in pencil.
- 7.1.7 The candidate attempts to take images or in any way record the content of the examination paper.
- 7.2 If during an examination a candidate is discovered in breach of these rules, the following action must be taken:
- 7.2.1 if notes, drawings, or other written matter, or documents of reference not permitted are discovered, whether or not actual use is being made of them at the time of discovery, they must be immediately confiscated, and the candidate informed that a report will be made to Skills and Education Group Awards. The candidate may be permitted to continue with the examination;
- 7.2.2 if a candidate is discovered copying from, communicating or attempting to communicate with another candidate, they shall be informed that a report will be made to Skills and Education Group Awards. The candidate may be permitted to continue with the examination;
- 7.2.3 if a candidate deliberately causes a disturbance through e.g. rowdiness or violence, the candidate may, at the discretion of the Invigilator, be expelled from the examination room; any disturbance when leaving the examination room early must be reported to Skills and Education Group Awards by the Invigilator;
- 7.2.4 if a candidate defaces an examination paper, their own script or that of another candidate:
- In the case of the latter, the candidate may, at the discretion of the Invigilator, be expelled from the examination room and the candidate whose work has been defaced may be allowed extra time to complete the paper.
  - If the candidate's own paper or script is defaced this should be dispatched to Skills and Education Group Awards but the candidate warned that the paper may not be marked;
- 7.2.5 candidate scripts written in pencil, where candidates have been instructed by the paper to write in ink, may not be marked at the discretion of Skills and Education Group Awards.

- 7.2.6 candidate scripts written in ink, where candidates have been instructed by the paper to write in pencil, may not be marked at the discretion of Skills and Education Group Awards.
- 7.3 In the event of any breach of our rules of examination, the Invigilator must advise the Examinations Officer immediately, or as soon after the examination as is practicable. The Invigilator should note the occurrence and reason for it on the EX4 / Attendance Register and proceed as follows:
- 7.3.1 the examination scripts should be forwarded to Skills and Education Group Awards in the normal way;
- 7.3.2 the examination Centre must immediately submit a report directly to Skills and Education Group Awards (MM2) enclosing where appropriate, any supporting evidence. Our policy, as a general principle, will be to disqualify the candidate in respect of the examination during which the misconduct took place. Should, however, the Centre consider there to be any mitigating factors, these must be included in its report;
- 7.3.3 We will consider the matter in light of all evidence available and will make a decision whether the examination mark shall stand or be voided. Our decision as the Awarding Organisation may be appealed in line with our Enquiries and Appeals policy.
- 7.4 If a Centre or a member of Centre staff is found to be in breach of these instructions, we will require the Centre to review its policies and procedures. We may require the use of a suitable action plan and will consider invoking our Sanctions Policy where we believe malpractice has occurred.

## **8. Reasonable Adjustments**

Reasonable Adjustments must be applied in accordance with our instructions. The Invigilator must confirm those applied during the examination on form EX4a which must be returned to Skills and Education Group Awards with the candidate scripts or, in the case of onscreen tests, emailed with the Invigilation Pack to Skills and Education Group Awards.

## **9. Requests for Special Consideration**

Requests for Special Consideration must be made on form E2A and sent to us with the EX4/Attendance Register within ten working days of the

external assessment date. Centres are requested to refer to our Access to Assessment Policy, available on our website.

## **10. Despatch of Examination Work for Marking**

We require the co-operation of all Examinations Officers in adhering to the following instructions:

- 10.1 Examination scripts, the combined Question and Answer Books, or the Answer Books, should first be arranged in candidate number order; any continuation sheets must be securely fixed to the Answer Book.
- 10.2 If Examination Officers, after reading the instructions sent by us, have any queries or issues about the despatch of scripts, they must contact us immediately.
- 10.3 Candidate answer sheets are confidential documents between the candidate and Skills and Education Group Awards. They must not be read, or amended prior to despatch.
- 10.4 Examination Officers may take photocopies of answer sheets only (i.e. not question papers if these are a separate document) to protect against the risk of papers being lost in the post. Where photocopies are taken, these must be securely stored and must be destroyed as soon as is possible once Skills and Education Group Awards has confirmed results. Skills and Education Group Awards will view the unauthorised retention and/or storage of exam scripts and/or answer sheets as an act of malpractice.
- 10.5 The candidate scripts and EX4/Attendance Register must be securely packed and addressed to Skills and Education Group Awards. Centres must ensure all packages are appropriately addressed and include a return address to the Centre, should the package for any reason be undelivered. Any such package of examination work should be capable of withstanding rough treatment in transit.
- 10.6 It is the Centre's responsibility to ensure that all scripts are despatched, without delay, correct postage or carriage prepaid. Where local postal arrangements prevent the despatch of the packages on the day of the examination the sealed packages must be locked up in secure conditions and despatched the next working day.
- 10.7 Centres are responsible for ensuring the secure and timely despatch of examination scripts to us. This should be by special delivery, next working day guaranteed or by courier.

## **11. Return of Question Papers**

- 11.1 If for whatever reason a sealed packet of Skills and Education Group Awards -printed examination papers is not required, it must be returned to Skills and Education Group Awards clearly identifying the Centre from which it came. If a Centre has printed their own exam papers and these are no longer required, these must be destroyed. Print-in-Centre exam papers are unique to each cohort and cannot be saved for use with a later cohort.
- 11.2 All examination question papers that are separate from candidate scripts must be returned to Skills and Education Group Awards with the candidate scripts.
- 11.3 If a candidate fails to present themselves for the examination, their question paper must be returned to the Skills and Education Group Awards with the other completed candidate scripts.
- 11.4 Invigilators should count the question papers handed out and ensure that the same number is counted in after the examination. Candidates and other Centre staff must not remove any question papers from the examination room.

## **12. Awarding Organisation Auditors**

- 12.1 Skills and Education Group Awards may send an Auditor to visit an examination room at any time and will complete a report in respect of compliance with these invigilation instructions.
- 12.2 Skills and Education Group Awards may void an examination if exam conditions are not followed, or if a Skills and Education Group Awards Auditor is not allowed prompt access to an examination.

## **13. Other External Assessment**

- 13.1 The requirements for submission of other assessment for external scrutiny will be notified to Centres by us and will vary from qualification to qualification.
- 13.2 The storage and despatch of this assessment evidence must undergo the same quality assurance arrangements as examination scripts in line with the timelines stipulated by us, in the Exam and Assessment Timetable on our website.

## Section 2: Centre-Invigilated On Screen Examinations

### 14. Invigilation

All our onscreen examinations must be subject to invigilation with the exception of onscreen tests that are Proctored through Skills and Education Group Awards.

These instructions set out the procedures to be followed in Centres where Skills and Education Group Awards onscreen tests are held. These regulations should be made available to each person concerned with the conduct and invigilation of the exam, in good time before an examination. This document should be available for reference during the examination itself.

### 15. Centre Responsibilities

Heads of Centre are responsible, usually through the Examinations Officer, for the proper conduct of all of our examinations in accordance with these instructions.

They must ensure that:

- 15.1 candidate registration IDs/passwords should be kept secure and not released prior to the examination;
- 15.2 no unfair means are used by candidates during examinations;
- 15.3 no one is permitted to assist any candidate during the examinations<sup>1</sup>, or to make alterations, additions to, or deletions from a candidate's work;
- 15.4 candidates presenting themselves for examinations are properly identified e.g. by supplying acceptable ID;
- 15.5 invigilators do NOT allow candidates to log on to an onscreen test using another candidate's registration ID or password. Any candidate who is found to have entered under the incorrect ID and / or password will have their examinations results declared VOID.

### 16. Invigilators

- 16.1 Centres must appoint invigilators to conduct all non-proctored examinations set by ourselves. Invigilators are responsible for the conduct and integrity of examinations, and full compliance with these instructions.

- 16.2 Invigilators supervising non-proctored onscreen examinations should be familiar with the Skills and Education Group Awards examinations platform.
- 16.3 The Centre must ensure that a sufficient number of invigilators are present to perform their duties adequately.
  - 16.3.1 At least one invigilator must be present in the examination room at all times.
  - 16.3.2 If only one invigilator is appointed, arrangements must be made for another person to be available and on call.
  - 16.3.3 For non-proctored onscreen tests there must be at least one invigilator per fifteen candidates.
  - 16.3.4 Technical support must be provided or made available in the event of equipment failure during any onscreen tests.
- 16.4 An invigilator must not be the teacher, tutor, assessor or trainer of the class or cohort of candidates taking the examination, nor a relative, friend or colleague of any candidate.
- 16.5 An invigilator must not leave candidates unattended at any time.
- 16.6 An invigilator must not undertake any other activity whilst invigilating.
- 16.7 An invigilator and the Examinations Officer must ensure that only the candidate accesses their onscreen test and they received no help from other individuals.
- 16.8 We do not accept responsibility for payment of fees or expenses to invigilators.

## **17. Examination Room Arrangements**

- 17.1 Each candidate will be allocated login details. Each candidate must be seated sufficiently apart to prevent collusion, ideally at a separate desk / table / workstation.
- 17.2 Only those candidates who have been properly entered for the examination should be allowed to enter the examination room. There should be a clearly visible sign to others in the building that an assessment is taking place.

- 17.3 Candidates must not login to an onscreen test until instructed to do so by the Invigilator.
- 17.4 An on-screen timer will show the candidate the time remaining. There is therefore no need to make a clock available in each examination room.
- 17.5 Any visual material (e.g. maps or diagrams) which could be of assistance to candidates must be removed from the examination room.
- 17.6 Mobile phones, smart watches or any other internet-enabled devices are not permitted in the examination room.
- 17.7 A candidate may not be admitted to the examination room once the examination has started. Candidates who arrive late must be recorded as absent on the Attendance Register.
- 17.8 Except in the case of emergency, no candidate should be permitted to leave the examination room before thirty minutes of the timetabled examination have elapsed (if there are other candidates present). Normally, a candidate who has left the examination room may not return .
- 17.9 Where a candidate must leave the room with the intention of returning, they must be supervised at all times and the remaining Invigilator must switch off the monitor or lock the screen (i.e. without quitting / pausing the test).
- 17.10 The Invigilator is required to give undivided attention to all examinations and to ensure that no candidate uses unfair means. The Invigilator must not distract a candidate or make observations on the work of any candidate.
- 17.11 Seating arrangements must prevent learners from overlooking the work of others. The recommended distance between each screen is 1.5 metres unless a divider is used to prevent candidates viewing other screens.
- 17.12 Attendance Register (EX4). A copy of the attendance register must always be retained by the Centre. This document must include a log of any technical failures, disruption, or candidate complaints. Any additional sheets required must be attached securely.
- 17.12.1 In the case of onscreen tests, an Invigilation Pack must be downloaded from the XAMS exams system, completed and returned to the Examinations Officer.
- 17.13 Unplanned Breaks/Emergencies
- 17.13.1 In the event of an emergency, where the examination is interrupted and cannot continue, the Invigilator must follow the



Centre's evacuation rules. Arrangements will be made for rescheduling.

17.13.2 Where interruptions to the examination are resolved by the Centre and the test environment has remained secure, the examination can continue. The timer for an onscreen exam will not pause, therefore it may be wiser to stop the exam and rearrange for another date.

17.13.3 In both cases a note of the time, reason and duration of the interruption must be reported to Skills and Education Group Awards.

17.13.4 Centres are reminded that support for external assessments is only available from us during our published opening hours. Skills and Education Group Awards will be unable to offer support outside of our published opening hours, Centres will be informed of any planned Skills and Education Group Awards Office closures in advance.

## **18. Examination Rules for Candidates Completing Onscreen Tests**

Before each non-proctored onscreen test, the Invigilator must read the following examination rules to the assembled candidates:

18.1 Mobile phones, headphones, ear buds or other communication devices are not allowed in the examination room. If you have one of these devices, please switch it off and bring it to the front desk now.

18.2 Most onscreen examinations do not allow notes to be taken during the exam. Where this is allowed, any rough working will be collected by the Invigilator at the end of the examination.

18.3 If you have any books, notes, or papers, other than those allowed or supplied to you for this exam, please hand them in now.

18.4 Please remember that no speaking or communication with another candidates is allowed and no explanation of the meaning of an examination question can be given. If you wish to ask any questions quietly attract the attention of the Invigilator by raising your hand.

18.5 If you complete the examination before the scheduled time you may leave the room quietly if the Invigilator allows you to do so. If you submit your test and leave the room, you will not be allowed back under any circumstances.

- 18.6 Please read the pre-test instructions very carefully before answering the questions. Do NOT click the close screen X at any time as you will not be able to access the test again.
- 18.7 Please ensure you complete all the questions and check your answers. You will be able to return to any question by using the navigation question bar on the screen.
- 18.8 You can now log on using the login details provided. Please check your details are correct and press 'Log In' and then follow the on-screen instructions.

## **19. Calculators and Dictionaries**

- 19.1 Where calculators are allowed, there will be an onscreen calculator for candidates to use. Candidates may use their own Electronic calculator in examinations where they are explicitly allowed. The candidate is responsible for the power supply and satisfactory working condition of the calculator and submissions based on faults in either will not be accepted. Calculator cases, operating instructions, programming software (in the case of programmable calculators) will not be allowed in the examination room. Where the calculator has a data storage facility, this must be cleared prior to the examination and the retrieval function must not be used. Candidates should be reminded of the need to include in their answers the steps in a calculation.

Calculators on mobile phones, smart watches or any other internet-enabled devices must not be used.

- 19.1 Dictionaries provided by the Centre are permitted for Road Haulage and Passenger Transport examinations.

## **20. Misconduct, Maladministration and Malpractice in Examinations**

- 20.1 A candidate is in breach of our rules of examination in the following circumstances:
  - 20.1.1 the candidate takes into the examination room any notes, drawings or other written matter, or documents of reference other than those specifically permitted for the examination in question;

- 20.1.2 the candidate attempts, on whatever pretext, to copy from or to communicate, by word, in writing or by any other means with another candidate;
  - 20.1.3 the candidate deliberately causes a disturbance during the examination or when leaving the room early through e.g. rowdiness or violence;
  - 20.1.4 The candidate attempts to take screenshots, images or in any way record the content of the examination.
- 20.2 If during an examination a candidate is discovered in breach of these rules, the following action must be taken:
- 20.2.1 if notes, drawings, or other written matter, or documents of reference not permitted are discovered, whether or not actual use is being made of them at the time of discovery, they must be immediately confiscated, and the candidate informed that a report will be made to Skills and Education Group Awards. The candidate may be permitted to continue with the examination;
  - 20.2.2 if a candidate is discovered copying from, communicating or attempting to communicate with another candidate, they shall be informed that a report will be made to Skills and Education Group Awards. The candidate may be permitted to continue with the examination;
  - 20.2.3 if a candidate deliberately causes a disturbance through e.g. rowdiness or violence, the candidate may, at the discretion of the Invigilator, be expelled from the examination room; any disturbance when leaving the examination room early must be reported to Skills and Education Group Awards by the Invigilator;
- 20.3 In the event of any breach of our rules of examination, the Invigilator must advise the Examinations Officer immediately, or as soon after the examination as is practicable. The Invigilator should note the occurrence and reason for it on the EX4 / Attendance Register and proceed as follows:
- 20.3.1 the examination Centre must immediately submit a report directly to Skills and Education Group Awards (MM2) enclosing where appropriate, any supporting evidence. Our policy, as a general principle, will be to disqualify the candidate in respect of the examination during which the misconduct took place. Should, however, the centre consider there to be any mitigating factors, these must be included in its report;

20.3.2 We will consider the matter in light of all evidence available and will make a decision whether the examination mark shall stand or be voided. Our decision as the Awarding Organisation may be appealed in line with our Enquiries and Appeals policy.

20.4 If a Centre or a member of Centre staff is found to be in breach of these instructions, we may require the Centre to review its policies and procedures. We may require the use of a suitable action plan and may consider invoking our Sanctions Policy.

## **21. Reasonable Adjustments**

Reasonable Adjustments must be applied in accordance with our instructions. The Invigilator must confirm those applied during the examination on form EX4a which must be returned to Skills and Education Group Awards with the candidate scripts or, in the case of onscreen tests, emailed with the Invigilation Pack to Skills and Education Group Awards.

## **22. Requests for Special Consideration**

Requests for Special Consideration must be made on form E2A and sent to us with the EX4/Attendance Register within ten working days of the external assessment date. Centres are requested to refer to our Access to Assessment Policy, available on our website.

## **23. Completing Onscreen Tests**

23.1 The invigilation pack containing the Attendance Register and Report must be collected by the Invigilator at the end of the examination session and given to Examination Officer to forward to Skills and Education Group Awards.

## **24 Awarding Organisation Auditors**

24.1 Skills and Education Group Awards may send an Auditor to visit an examination room at any time and will complete a report in respect of compliance with these invigilation instructions.

24.2 Skills and Education Group Awards may void an examination if exam conditions are not followed, or if a Skills and Education Group Awards Auditor is not allowed prompt access to an examination.

## **25 Other External Assessment**

- 25.1 The requirements for submission of other assessment for external scrutiny will be notified to Centres by us and will vary from qualification to qualification.
- 25.2 The storage and despatch of this assessment evidence must undergo the same quality assurance arrangements as examination scripts in line with the timelines stipulated by us, in the Exam and Assessment Timetable on our website.

## Section 3: Online Proctored Examinations

### 26 General

- 26.1 A 'record and review' proctored examination is conducted using online examination software. A candidate is not monitored permanently via an on-site invigilator but instead is invigilated based on video recordings, audio recordings and screen recordings made during the examination process.
- 26.2 This section of the Instruction for the Conduct of Examinations and Other External Assessments document outlines the responsibilities of Centres, candidates and Skills and Education Group Awards where examinations are taken via a proctored method. Candidates should be made aware of these requirements through their Recognised Centre.

### 27 Centre Responsibilities

- 27.1 Centres are responsible for:
- a. Ensuring candidates are suitably familiar with using the proctored examination method prior to the examination taking place. This should include making candidates aware of any Skills and Education Group Awards guidance, and giving clear instructions regarding what resources may be accessed.
  - b. Requesting any reasonable adjustments in the usual manner and required timescales as per our Access to Assessment policy.
  - c. Requesting any special consideration in the usual manner and required timescales as per our Access to Assessment policy.
  - d. Scheduling the proctored examination in line with Skills and Education Group Awards's published requirements. In the case of End-point Assessments, Skills and Education Group Awards will undertake the scheduling on the Training Provider's behalf.
  - e. Informing candidates of the scheduled date and time of their examination and ensuring they have the information they need to login.
  - f. Reporting any known or suspected cases of misconduct, maladministration or malpractice to the Awarding Organisation in writing as per our Malpractice and Maladministration Policy.

- g. Ensuring that where a candidate undertakes an examination at their place of employment, the Employer provides the candidate with the correct IT equipment and a suitable location / room environment.

## **28 Candidate Responsibilities**

28.1 Candidates are responsible for ensuring that:

- a. They correctly record the dates / times and commence their examination at the correct time. They may not be permitted to start late.
- b. They have appropriate equipment in place including PC / laptop / tablet, microphone and webcam with an internet connection.
- c. They leave enough time immediately prior to the assessment start time in order to go through security and identification requirements.
- d. They verify their identity, by means of having a photograph taken using their webcam, with valid photographic ID that has their name and photograph on it. The name must match that by which they were registered for the examination.
- e. They choose an appropriate environment in which to take the exam, in a room where they will not be disturbed for the period of the exam plus 10 minutes prior to the exam start time. The room must be as quiet as possible, no background sounds i.e. music or television.
- f. They are able to scan their environment as part of the monitoring process and use the same room that is scanned for the purpose of the examination. The scan must be 360 degrees and include any workspace (desk/table).
- g. They appear in a state of appropriate dress as if they were to appear in public and that any clothing worn does not cause offence.
- h. They behave professionally at all times and face the screen during the examination and be in full view of the webcam.
- i. The computer or device selected for taking the exam does not have more than one display or screen. The online proctoring software may not allow the exam to commence unless all additional screens are disconnected.

- j. They do not wear headphones, ear buds or any other type of listening equipment.
- k. They do not use a phone or other electronic communication device for any reason unless specifically allowed to do so.
- l. They do not leave the room during the exam for any reason unless specifically allowed to do so. If a candidate is likely to need to leave the room, we would strongly suggest that online-proctored examinations are not suitable.
- m. Screen sharing software is not used during the examination.
- n. The room is sufficiently lit and lighting sources are not behind the candidate.
- o. No person, other than the candidate, is allowed to be in the room whilst the exam is being undertaken.
- p. There is no writing on the desk or walls around them which could aid the examination being taken.
- q. All other programs / windows are closed on the computer / device other than the one required to undertake the exam.
- r. Their desk is clean and tidy, and the following items are not on the desk or used during the exam (unless specifically permitted for the exam):
  - Books
  - Paper
  - Pens / Pencils
  - Calculators
  - Textbooks
  - Notebooks
  - Phones
  - Tablets or any other internet enabled device

28.2 Failure to adhere to the requirements of this document may result in a candidate's examination being voided and a failure result issued.

28.3 A serious breach of any of the above points will be considered either maladministration or malpractice and may result in further investigation by Skills and Education Group Awards.



## **29 Awarding Organisation Responsibilities**

29.1 Skills and Education Group Awards is responsible for:

- a. Recording the examination, including audio, video and screen recording.
- b. Appointing Proctors to review the examination for potential issues or instances of possible maladministration or malpractice.
- c. Investigating examinations where concerns are raised and taking appropriate action with either the Centre or the candidate, or in some cases both in line with our Malpractice and Maladministration Policy.
- d. Ensuring the examination was taken under secure conditions and maintains the integrity of the qualification and safety of any subsequent award.
- e. In the case of End-point Assessment, scheduling any exam and providing the relevant login details to the Training Provider. A minimum of two working days' notice prior to the exam date is required.

## **30 Unplanned Breaks/Emergencies**

- 30.1 In the event of an emergency where the examination is interrupted and cannot continue, candidates should notify their Centre as soon as possible with full details which should then be forwarded to Skills and Education Group Awards in writing.
- 30.2 Skills and Education Group Awards will take a view as to whether the integrity of the examination has been breached by viewing a recording of the examination.

## **31 Voided Assessments**

- 31.1 Skills and Education Group Awards will void any Proctored online examination where the requirements outlined in this document have not been met or if there is any reason to suspect that examination conditions have been broken.
- 32.1 Where an assessment is voided, the candidate will be required to retake the examination.
- 31.3 Where an assessment is voided, Skills and Education Group Awards will



provide a short explanation to the Centre or Training Provider.

## Change History Record

Version	Description of change	Approval	Date of Issue
2024 Rewrite	Rewrite of previous version	SLT	October 2024
V1.1	Amendment to 2.7.1	SLT	March 2025

## Appendix 1: Self-help checklist for Examination Officers

<b>For the Examinations Officer</b>	
<b>Before the Examination</b>	<b>Yes / No / NA</b>
1. All papers and documentation received from us have been checked and are correct.	
2. Arrangements have been made for those candidates with Reasonable Adjustments.	
3. Examination papers have been kept in secure location prior to the examination.	
4. The room/s is/are appropriate (size and location).	
5. The room/s allocated has/have been clearly marked with 'Examination in Progress'.	
6. A working clock is available in the room/s.	
7. The Invigilators have been trained and briefed.	
8. The ratio between invigilators and candidates is appropriate.	
9. The chief invigilator has no relationship to the cohort.	
10. Onscreen Tests: There are enough computers to allow for a spare machine if required.	
11. The Invigilator has a copy of our general instructions relating to the conduct of examinations and other External Assessments (EX6).	
<b>After the Examination</b>	
1. Confirmation has been received from the Invigilator that the identity of all candidates was checked.	
2. Confirmation has been received from the Invigilator that the appropriate examination rules were read out to candidates before the start of the examination.	
3. The despatch of scripts / secure storage has been arranged.	
4. The correct documentation is with the candidate scripts – Attendance Register and confirmation (EX4a), that any reasonable adjustments have been applied. In the case of onscreen tests, invigilation pack and EX4a to be sent by email to us.	
5. Scripts and all other documentation have been securely posted to the Awarding Organisation (paper-based assessments)	

## Appendix 2: Self-help checklist for Invigilators

<b>For the Invigilator</b>	
<b>Before the Examination</b>	<b>Yes / No / NA</b>
1. You are aware of our general instructions relating to the conduct examinations and other external assessments (EX6).	
2. You have a copy of the attendance register or invigilation pack for onscreen tests	
3. You are aware of the instructions to be read out to candidates prior to the examination.	
4. You are familiar with the requirements of our onscreen tests as per our published guidance.	
5. The desks are separate and / or sufficiently spaced to prevent collusion.	
6. There is nothing in the room that could be of assistance to the candidate.	
7. The examination start / finish times for written examinations are clearly displayed in the room.	
8. Only those candidates registered on the EX4 / Attendance Register are present and their identities have been verified.	
9. Candidates are seated with the correct Registration ID and in the case of onscreen tests have access to their keycodes.	
10. Candidates are provided with all the stationery required for the examination.	
11. Any reasonable adjustments are in place.	
<b>After the Examination</b>	
1. All onscreen tests are closed down as required before leaving the room	
2. Any incidents have been reported on the EX4 / Attendance Register and continued on a separate piece of paper as required.	
3. Scripts, attendance register, rough working etc. have been taken to the Examinations Officer.	
4. Form EX4a has been completed to confirm any scheduled Reasonable Adjustments have been applied.	