



**AIM**QUALIFICATIONS

Policies

---

for centre staff



## Invigilation guidance for AIM external assessments

CE/26/2019

## Welcome

AIM is a national and international Awarding Organisation. We offer a large number of regulated qualifications at different levels and in a wide range of subject areas, Access to Higher Education Diplomas and End Point Assessments. Our products are flexible enough to be delivered in a range of settings, from small providers to large colleges and in the workplace both nationally and internationally. We pride ourselves on offering the best possible customer service, and are always on hand to help you if you have any questions. Our organisational structure and business processes enable us to be able to respond quickly to the needs of customers to develop new products that meet their specific needs.

## Introduction

The aim of this document is to provide guidance for centre staff on the invigilation requirements of AIM external assessments.

# Contents

Introduction	2
Invigilation Guidance for External Assessments	4
External Assessment Requirements	7
Assessment Notice for Learners	9
Unannounced Visits Guidance	10
Observation of External Assessment Checklist	11
Conditions for Storing Confidential Materials	15

## Invigilation guidance for external assessments

Assessments must not be invigilated by the class Tutor unless another independent Invigilator is present.

### Starting the assessment:

Before the assessment starts, the assessment Invigilator must:

- check that all learners have the required identity documents and photographic evidence (where applicable) and that the relevant section of the Attendance Sheet has been completed to show attendance
- confirm there are no conflicts of interest between Invigilator and learners (see guidance on the AIM website)
- advise learners who are unable to provide the required identity documents and photographic evidence that they cannot sit the assessment, and that they must leave the assessment room unless they can be identified by their Assessor
- make sure that the seating arrangements meet AIM requirements (see the External Assessment Venue Requirements Guidance)
- inform learners that they must follow the regulations of the assessment
- open the packets of assessment papers (if applicable) in the assessment room in front of the learners, and distribute to learners
- check that learners have the correct assessment
- advise learners of emergency/evacuation procedures The Invigilator must advise learners that:

The Invigilator **must** advise learners that:

- they must write in blue or black ink (if applicable)
- 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

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 assessment. However, in this situation, the Invigilator must refer the matter to the head of the centre, who should send a report to AIM
- give any information to learners about possible mistakes in the assessment, unless there is an erratum notice, or permission has been given by AIM
- comment on the content of the assessment
- 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

**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.

**Learners who arrive late:**

Centres in the UK are allowed to start examinations by up to 30 minutes earlier than, or later than, the published starting time for the session, without the need to complete any paperwork. Prior permission from AIM is not required. Where this policy is followed, to avoid any possible breach of security, late arriving candidates or early departing candidates must be supervised as if the specified starting time had been in place.

**Leaving the assessment room:**

Learners are not permitted to leave the assessment room until at least 30 minutes of the assessment time has elapsed (other than in an emergency/medical situation). 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 assessments must be placed in secure storage prior to submitting to the specified location 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 assessments by centre staff, to pre-empt awards will be treated as malpractice and could result in the withdrawal of centre approval. Assessments must be sent to the specified location within the specified time frame (set by AIM) of the assessment.

## External assessment venue requirements

Centres must ensure that external assessments take place in a suitable assessment environment. This means that:

- any room in which an assessment is held must provide learners with appropriate conditions for taking the assessment. Particular attention should be given to conditions such as heating, lighting, ventilation and the level of outside noise
- Display material (such as posters, wall charts, information leaflets) which might be helpful to learners must not be visible in the assessment room
- A reliable clock (or other suitable time keeping device e.g. time displayed via a computer screen) must be visible to each learner in the assessment room. The clock/display must be large enough for all learners to read clearly
- The following items must be on display in the assessment room:
  - Poster advising learners that mobile devices (such as phones, iWatches etc.) are not allowed in the exam room
  - Assessment Notice for Learners (see the AIM website)
  - Centre Appeals procedure
  - Emergency/Evacuation procedures
- There must be a sign, clearly visible to others in the building, that an assessment is taking place
- Information must be visible to all learners from overlooking the work of others. In particular, the minimum distance in all directions from centre to centre of learners' chairs must be 1.25 metres
- 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 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; a trained administrator must be available during the assessment to deal with any technical queries that may arise

- the Invigilator to learner ratio is a minimum of 1:30 for paper-based assessments, 1:20 for online assessment, and 1:10 for ICT assessments
- there must be space for the Invigilator to sit
- where possible, there is at least one replacement PC available

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

<b>A</b>	<b>Regulations: Make sure you understand the rules</b>
1.	Be on time for the assessment(s). If you are late, you will not be allowed to sit the assessment.
2.	Do not become involved in any unfair or dishonest practice during the assessment.
3.	If you try to cheat or break the rules in any way, your assessment will be voided.
4.	Make sure you have all of the required identity documents and photographic evidence, and bring them with you to the assessment room. Without them, you will not be able to sit the assessment unless your Assessor can identify you.
5.	Do not have any material on your desk that might give you an unfair advantage. This includes course material, leaflets or any notes that you may have made during your course.
6.	Make sure your mobile phone is switched off.
7.	Use a black or blue pen to write your answers (if applicable).
8.	Do not try to talk to, communicate with, or disturb other candidates once the assessment has started.
9.	If you leave the assessment room unaccompanied by a member of centre staff before the assessment has finished, you will not be allowed to return.
<b>B</b>	<b>Instructions during the assessment</b>
1.	Listen to the Invigilator and follow their instructions at all times.
2.	Tell the Invigilator at once: <ul style="list-style-type: none"> <li>• if you think you have not been given the correct assessment</li> <li>• if the assessment is incomplete or badly printed (if applicable)</li> <li>• if you do not have access to any additional files (if applicable)</li> </ul>
<b>C</b>	<b>Advice and assistance</b>
1.	If on the day of the assessment, you feel that your work may be affected by ill health or any other reason, let your Invigilator know.

2.	Raise your hand during the assessment if: <ul style="list-style-type: none"> <li>• you have a problem and are in doubt about what you should do</li> <li>• you do not feel well</li> <li>• you need a replacement pen (if applicable)</li> <li>• you have a problem with any equipment (e.g. computers)</li> </ul>
3.	You must not ask for, and will not be given, any explanation of the questions
<b>D</b>	<b>During the examination</b>
1.	Do not leave the assessment room until told to do so by the Invigilator.
2.	If given permission to leave the assessment room before the published finish time, do so without disturbing other candidates.
3.	Do not remove your assessment paper from the assessment room (if applicable).

## Unannounced visits guidance

Unannounced visits are essential for maintaining and improving quality. They ensure that all relevant procedures are being followed for maximum compliance and to prevent malpractice. Such checks will create the opportunity to comment on good practice and also identify areas for improvement. This guidance will provide a framework for carrying out unannounced visits and includes templates that will be used by AIM for recording that these have taken place.

A Quality Representative from AIM will carry out these unannounced visits. Centres must provide the person carrying out the visit access to premises, people and records relating to learner assessments, achievement and internal quality assurance. If a centre fails to provide access, AIM may suspend the centre's approval status subject to further checks.

### How many unannounced visits and how often?

Centres will be spot checked in line with AIM normal arrangements for monitoring risk. Risk factors may include volume of registrations, incidents reported and exception reporting of statistical data. In any situation where AIM has concerns about the ability of a centre to meet the terms and conditions

of the Centre Agreement, quality assurance arrangements or financial obligations, then AIM will undertake an unannounced visit to determine the level of risk to the security of the award.

### **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.

### **Imposing sanctions**

On completion of an unannounced visit, AIM reserves the right to apply conditions, special measures and sanctions on centres to safeguard the award of achievement and protect the interests of learners. Any sanction proposed will be reviewed by the AIM Director of Quality before being applied.

The level of sanction imposed will depend on the nature of the centre's non-compliance. In cases of serious breach on non-compliance, for example in relation to the security of assessments, then AIM may withdraw Centre Recognition. This withdrawal of recognition may impact upon the centre's eligibility to deliver all qualifications with AIM or other Awarding Organisations. AIM will provide centres with guidance on protecting the interests of learners appropriate to the circumstances of the withdrawal.

## External assessment venue requirements

Centres must ensure that external assessments take place in a suitable assessment environment. This means that:

- any room in which an assessment is held must provide learners with appropriate conditions for taking the assessment. Particular attention should be given to conditions such as heating, lighting, ventilation and the level of outside noise
- Display material (such as posters, wall charts, information leaflets) which might be helpful to learners must not be visible in the assessment room
- A reliable clock (or other suitable time keeping device e.g. time displayed via a computer screen) must be visible to each learner in the assessment room. The clock/display must be large enough for all learners to read clearly
- The following items must be on display in the assessment room:
  - Poster advising learners that mobile devices (such as phones, iWatches etc.) are not allowed in the exam room
  - Assessment Notice for Learners (see the AIM website)
  - Centre Appeals procedure
  - Emergency/Evacuation procedures
- There must be a sign, clearly visible to others in the building, that an assessment is taking place
- Information must be visible to all learners from overlooking the work of others. In particular, the minimum distance in all directions from centre to centre of learners' chairs must be 1.25 metres
- 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 assessments, the room layout must be planned to prevent screens

- the Invigilator to learner ratio is a minimum of 1:30 for paper-based assessments, 1:20 for online assessment, and 1:10 for ICT assessments
- there must be space for the Invigilator to sit
- where possible, there is at least one replacement PC available

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

## Observation of external assessment checklist

This checklist should be used by an AIM Quality Representative. Completed forms must be returned to the AIM Director of Quality.

<b>Centre Name</b>		
<b>AIM Quality Representative Details</b>		
<b>Site Visited (address)</b>		
<b>Date and Time of Assessment</b>		
<b>Duration of Observation Visit (hours)</b>		

<b>A</b>	<b>Arranging the Assessment Room</b>	<b>'YES' Please tick</b>	<b>Comments</b>
1.	Check that assessment room walls have been cleared of any material that may assist learners		
2.	Check that centre has the following on display: <ul style="list-style-type: none"> <li>- Poster advising learners that mobile devices (phones, iWatches etc.) are now allowed in the exam room</li> <li>- Assessment 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 any required additional files		

<b>B</b>	<b>Identifying learners</b>	<b>Tick</b>	<b>Comments</b>
7.	The identities of all learners are checked using photographic ID (e.g. Passport, driver's license or college issued ID card) and the relevant attendance sheet has been completed to identify attendees at the assessment		
8.	Learners unable to provide the required identity documents and photographic evidence are advised that they cannot sit the assessment, unless identified by their Assessor		

<b>C</b>	<b>Before the examination starts</b>	<b>Tick</b>	<b>Comments</b>
9.	There is a second Invigilator present or 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 assessments and 1:10 for ICT assessments		
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 advertising learners that mobile phones, tablets, media players or other data sorting devices must be switched off and not used during the examination</li> <li>- Assessment 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		

<b>C</b>	<b>Identifying learners</b>	<b>Tick</b>	<b>Comments</b>
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 after the examination starts, told they cannot sit the examination		

<b>Paper-based assessments only</b>			
16.	Envelope(s) containing assessment papers opened in the assessment room (if applicable)		
17.	Learners told: - To enter their personal details on the learner information sheet  - To read the instructions on the front of the answer sheet		
18.	Learners reminded to use blue or black ink (pens issued if necessary and if applicable)		

<b>D</b>	<b>During the examination</b>	<b>Tick</b>	<b>Comments</b>
19.	Invigilator is vigilant throughout. Supervised the learners at all times to prevent cheating and distractions. This included walking around the examination room		
20.	Invigilator did not give any information to learners about the content of any question or answer of the assessment 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 warning at an appropriate time before the end of the assessment and advised to stop writing/typing at the end of the assessment		

<b>D</b>	<b>During the examination</b>	<b>Tick</b>	<b>Comments</b>
23.	Computer-based assessments: Invigilator monitored the use of Internet and e-mail (according to requirements of particular assessment)		
24.	In the event of an emergency, the emergency procedures was implemented		

<b>E</b>	<b>At the end of the examination</b>	<b>Tick</b>	<b>Comments</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 (paper-based examinations only), ensuring they were kept in a secure place before being sent for processing		
27.	The attendance sheet is retained (in accordance with specified guidance)		

Additional comments

<b>Actions/recommendations for centre</b>			
	(Add additional rows as necessary)	By whom	By when
	<b>Actions</b>		
1			
2			
3			
	<b>Recommendations</b>	By whom	By when
1			
2			
3			
<b>Good Practice identified</b>			
Signature of individual conducting the unannounced visit		Signature of centre staff	
Print name		Print name	

## Conditions for storing confidential materials

Assessments and other confidential material, e.g. answer booklets must be stored securely at the centre's registered address in a secure room, solely assigned to examinations restricted to **two or four key holders only**. This is commonly referred to as a "box within a box". The following requirements must be met: 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; a trained administrator must be available during the assessment to deal with any technical queries that may arise

Requirement "a box within a box"	Note
<p>Secure room solely assigned to examinations in a fixed building, i.e. not a Portakabin or similar, meeting all of the following requirements:</p> <ul style="list-style-type: none"> <li>- Walls, ceiling and floor of strong, solid construction</li> <li>- Solid door or reinforced door with</li> <li>- Strong secure/heavy duty hinges</li> <li>- Security lock e.g. 5 lever mortice lock or coded keypad lock or electronic security lock</li> <li>- 2 to 4 key holders only</li> </ul> <p>The following must also be met (where applicable):</p> <ul style="list-style-type: none"> <li>- If question papers are stored in a room with windows, which are easily accessible, bars must be fitted or the room alarmed.</li> <li>- If the room has a glass panel in or above the door, e.g. for health and safety reasons, the glass must be toughened safety glass.</li> <li>- If the volume of question papers is too great for secure storage in one room, you must use additional rooms within the centre. These additional rooms must also meet the requirements for secure storage.</li> </ul>	<p>Preferably on an upper floor with no windows.</p> <p>Stud partition walls are only acceptable with metal reinforcement.</p> <p>A hollow panel door would require extra metal reinforcement.</p> <p>Upper floor window(s) with a balcony or flat roof must be fitted with bars or the room alarmed.</p> <p>The room must not have a door which directly leads out to the exterior of the building.</p>





+44 (0)1332 341822



[enquiries@aim-group.org.uk](mailto:enquiries@aim-group.org.uk)



[www.aim-group.org.uk](http://www.aim-group.org.uk)

AIM Qualifications and Assessment Group

3 Pride Point Drive

Pride Park

Derby

DE24 8BX