



AIMASSESSMENT

Policies

For apprentices, employers,
and training providers



AIM Assessment

External invigilation and exam monitoring

Document version history

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Introduction

The aim of this document is to provide guidance about the on-site, remote and proctored invigilation requirements for end-point assessment controlled assessments, such as examinations and set tests. It also provides guidance about the arrangements applied to remote assessments carried out with an assessor.

About us

AIM Qualification and Assessment Group are an end-point assessment organisation approved on the register for a range of apprenticeship standards. AIM Group are also a regulated awarding organisation and Access Validating Agency.

Arrangements for remote assessments

Section 1

This section provides information about the arrangements applied to remote assessments, such as professional discussions carried out through video conferencing.

Remote assessments will be carried out by an AIM Assessment associate assessor who will be responsible for the security of the assessment and of the assessment materials.

The below minimum requirements must be in place for both apprentice and assessor:

- access to either a Wi-Fi or 4G internet connection
- access to a computer/laptop with webcam, or a tablet with camera
- access to video calls
- a well-lit and private room, away from any distractions

In advance of the assessment, the EPA delivery team will offer a test connection with the apprentice. As the assessment approaches the EPA delivery team will issue a calendar diary invite containing a link to the assessment. The assessor will start the assessment and the apprentice may then join.

Delayed starts to assessments

Apprentices must be on time for their assessments. Apprentices who arrive more than thirty minutes after the assessment has started cannot sit the assessment at this time.

Roles and responsibilities

Section 2

The tables on *pages 3 to 5* set out the responsibilities of each participant and must be adhered to. It is the responsibility of the assessor to stop the assessment if any of the responsibilities are not met, or if there is doubt over the reliability of the assessment.

Starting the remote assessment

Apprentice role	Assessor role
<ol style="list-style-type: none">1. Print the assignment brief out and have to hand.2. Access the video call link provided by assessor.3. Show their photo ID (driving licence or passport) alongside their face to the assessor via the camera, to confirm it is the apprentice taking the assessment.4. Show the assessor a full scan of the room using the camera to prove that collusion is not taking place.	<ol style="list-style-type: none">1. Print the mark sheet out and have to hand.2. Set up the video call and make sure the apprentice can access it.3. Check the apprentices photo ID via the camera to confirm it is the apprentice taking the assessment.4. Show the apprentice your AIM ID over the camera.5. Check room the apprentice is in by asking them to show it all with their camera. You must direct where the apprentice points the camera to ensure that collusion is not taking place.6. Confirm with the apprentice how the assessment will work and that they are happy to proceed.

During the remote assessment

Apprentice role	Assessor role
<ol style="list-style-type: none">1. Locate the camera so that the assessor can see your face. Confirm with the assessor that they are happy with the location. Move your phone out of the way but leave it on in case the assessor needs to contact you in the case of a breakdown in video conference.2. The professional discussion will start once the assessor informs you, at which point you will be made the <i>'presenter'</i>. At this point you will be able to share your screen with the assessor so that you can show them any elements of your portfolio that support the discussion3. Participate in the professional discussion according to the assignment brief.4. If you notice the connection has failed on the assessment, wait for the assessor to get in touch. You must pause your work until it is re-established.5. At the end of the professional discussion the assessor will ask you to stop.	<ol style="list-style-type: none">1. Ask the apprentice to locate the camera so that you can see their face.2. Ensure that you start the recording (top left of screen). As a backup measure you could record the audio of your web conference using your dictaphone.3. Explain to the apprentice that you will make them the presenter of the video conference, at which point they will be able to switch on screenshare so that you can see their screen.4. The screenshare will enable the apprentice to show any elements of their portfolio to support the discussion.5. Once you can see the apprentice's screen and camera you must note the time or start a timer and inform the apprentice that the professional discussion is about to start6. Carry out the professional discussion according to the guidance on the mark sheet.7. Remember to give countdown warnings.8. Continue to monitor the apprentice's camera for the duration of the assessment. If you observe the apprentice doing anything they are not permitted to do you must stop the assessment immediately and inform the AIM delivery team.9. If the connection should freeze or break you will need to phone the apprentice to alert them and restart the conference.10. Draw the discussion to a close and inform the apprentice that the professional discussion has finished.

After the remote assessment

Apprentice role	Assessor role
<ol style="list-style-type: none"><li data-bbox="161 472 780 535">1. Await confirmation of your grades and feedback from the AIM delivery team.	<ol style="list-style-type: none"><li data-bbox="815 472 1386 535">1. Capture the recording(s) from the video call and save to Creatio.<li data-bbox="815 551 1214 613">2. Complete the mark sheet and upload to Creatio.

Proctored controlled assessments

Section 3

This section provides invigilation guidance for controlled assessments, such as examinations and set tests, invigilated using the proctoring software arranged by AIM Assessment.

Starting the proctored controlled assessment

Before the controlled assessment starts, the apprentice must:

- ensure they have received and read all information about the assessment
- ensure any request for reasonable adjustment or special considerations for the assessment have been approved by AIM prior to the assessment taking place (see special considerations and reasonable adjustment policy and form)
- consent to the assessment being recorded, stored, and reviewed for the duration of the appeals period
- have their current photographic identification next to them ready to be used for identity verification. Apprentices who are unable to provide the required photographic identification cannot sit the assessment
- have their webcam, microphone, speakers/headphones and mobile phone ready and working
- complete a scan of the room where they will take the assessment using a webcam
- ensure the lighting in the room is bright enough to be considered '*daylight*' quality
- ensure their working area is clear and tidy
- ensure their desk and walls do not have any written materials or posters which relate to the subject matter of the assessment
- ensure the room is as quiet as possible. Sounds such as music or television are not permitted

During the proctored controlled assessment

The apprentice must ensure that:

- no other person has entered the room and they have not spoken to anyone else
- they have not moved out of the line of sight of the webcam at any time once the assessment has commenced
- audio was not muted or interrupted at any time during the assessment
- their connection has not frozen, stopped working or had any other issues
- they have not accessed any other form of electronic device (including phones, smartwatches etc) unless a mobile phone/tablet has been used as the second screen to allow for webcam use only where necessary to meet AIM requirements
- they have not accessed any prohibited websites or programmes during the assessment

After the proctored controlled assessment

The AIM team will review the proctored assessment session to ensure that all of the above requirements have been met, and where they have not that the assessment is voided

Security and storage of the recordings:

- The recordings of the apprentice's assessment will be stored securely for the duration of the assessment period plus the appeals period, after which it will be securely deleted.

Remotely invigilated controlled assessments

Section 4

This section provides guidance for invigilating controlled assessments, such as examinations and set tests, through remote video conferencing. All assessments using this approach must be invigilated on a one-to-one basis. The same person cannot invigilate more than one candidate at a time.

Controlled assessments will be invigilated/facilitated by a member of the AIM Assessment team and **MUST NOT** be invigilated by the learning mentor/line manager or anyone else with a conflict of interest unless another independent invigilator is present.

Starting the remotely invigilated controlled assessment

The invigilator is responsible for ensuring that the following requirements are explained to and understood by the learner before the assessment begins:

Assessments **MUST NOT** begin if any of the below requirements are not met

- If the apprentice requires any special considerations for the assessment this must be approved by AIM prior to the assessment taking place ([see special considerations and reasonable adjustment policy and form](#)).
- The apprentice has consented to the assessment being recorded, stored, and reviewed in line with the rules for proctored assessments.
- The identity of the apprentice has been verified using a current photographic identification before the start of the assessment.
- Advise apprentices who are unable to provide the required photographic identification that they cannot sit the assessment.
- The apprentice must be in view at all times, sharing both their computer screen (via screen sharing), webcam and mobile phone camera (where applicable).
- The apprentice has switched on their microphone and the audio is clear.
- The apprentice has completed a scan of the room where they will take the assessment using a webcam.
- The need for a steady and reliable internet connection.
- The lighting in the room is bright enough to be considered 'daylight' quality.

- The apprentice's working area is clear and tidy.
- The desk and walls around the apprentice do not have any written materials or posters which relate to the subject matter of the assessment.
- The room is to be as quiet as possible. Sounds such as music or television are not permitted.
- The following items are not within the learner's working area or used during the assessment, unless is an 'open book' assessment:
 - books
 - calculators
 - textbooks
 - notebooks
 - phones

Delayed starts to assessments

Apprentices must be on time for their assessments. Apprentices who arrive more than thirty minutes after the assessment has started **cannot sit the assessment at this time.**

During the remotely invigilated controlled assessment

The invigilator must ensure that:

- no other person has entered the room and the apprentice has not spoken to anyone else
- the apprentice has not moved out of the line of sight of the webcam at any time once the assessment has commenced
- that audio was not muted or interrupted at any time during the assessment
- the apprentice's screen sharing has not frozen, stopped working or had any other issues
- the apprentice has not accessed any other form of electronic device (including phones, smartwatches etc) unless a mobile phone/tablet has been used as the second screen to allow for webcam use only where necessary to meet AIM requirements
- the apprentice has not accessed any prohibited websites or programmes
- if an apprentice requires a toilet break this must be approved by the invigilator. Apprentices will be required to leave their mobile phones in the assessment room, and to leave their camera and microphone running whilst they are out of the room

Ending the assessment:

- Invigilators/facilitators should give sufficient notice to apprentices, by giving fifteen minute and five minute warnings prior to the finish time.
- The invigilator must observe the apprentice send all assessment materials to AIM, and witness the deletion of any controlled assessment tasks.
- No indication should be given to apprentices as to whether it is believed that they have passed or failed the assessment.

After the remotely invigilated controlled assessment

Security and storage of the recordings:

- The recordings of the apprentice's assessment will be stored securely for the duration of the assessment period.

Assessment notice for learners completing remote/proctored assessments

Section 5

This notice must be sent to learners in advance of their remote/proctored assessment.

Please read this notice carefully and follow the instructions. If there is anything that you do not understand, ask your tutor or invigilator.

A	Regulations: Make sure you understand the rules
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.
5	DO NOT have any material on your desk or posters on the walls that might give you an unfair advantage for example course material, leaflets or any notes that you may have made during your course.
6	Make sure you DO NOT take mobile devices (phone, smartwatch etc) into the assessment room unless a mobile phone/tablet is to be used as the second screen to allow for webcam use only where necessary to meet AIM requirements.
7	You have a tested your webcam and microphone are in good working condition and provide clear visual and audio.
8	You have a steady and reliable internet connection.
9	The lighting in your room must be bright enough to be considered 'daylight' quality.
10	The room is to be as quiet as possible. Sounds such as music or television are not permitted.
11	Make sure any other members of your household understand they MUST NOT enter your room or try to communicate with you once the assessment has started or your assessment will be voided.
12	If you leave the assessment room before the assessment has finished, your assessment will be voided.

B	Instructions during the assessment
1	Always listen to the Invigilator and follow their instructions.
2	<p>Tell the Invigilator at once:</p> <ul style="list-style-type: none"> ▪ if you think you have not been given the correct assessment ▪ if the assessment is incomplete or badly printed (if applicable) ▪ if you do not have access to any additional files (if applicable)
C	Advice and assistance
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	<p>Raise your hand during the assessment if:</p> <ul style="list-style-type: none"> ▪ you have a problem and are in doubt about what you should do ▪ you do not feel well ▪ you have a problem with any equipment (eg computers)
D	During the assessment
1	DO NOT move out of the line of sight of the webcam at any time once the assessment has commenced.
2	DO NOT access any additional websites or programmes during the assessment.
3	DO NOT wear headphones or any other type of listening equipment.

On-site controlled assessments

Section 6

This section provides invigilation guidance for on-site controlled assessments, such as examinations and set tests, where the apprentice(s) and invigilator are in the same room.

Controlled assessments will be invigilated/facilitated by a member of the AIM Assessment team and **MUST NOT** be invigilated by the learning mentor/line manager or anyone else with a conflict of interest unless another independent invigilator is present.

Starting the on-site controlled assessment

Before the on-site controlled assessment starts, the assessment invigilator/facilitator must:

- check if the apprentice has been granted reasonable adjustments for the assessment. These must have been approved by AIM prior to the assessment taking place ([see special considerations and reasonable adjustment policy and form](#))
- confirm that the room is a suitable assessment environment
- confirm all required equipment, software and resources are present and working
- check that all apprentices have the required photographic identification and complete the invigilator checklist
- advise apprentices who are unable to provide the required photographic identification that they cannot sit the assessment, and that they must leave the assessment room
- confirm there are no conflicts of interest between invigilator and apprentices ([see Conflict of Interest Policy on the AIM website](#))
- make sure that all arrangements meet AIM requirements (see External Assessment Venue Requirements on page 11)
- inform apprentices 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 apprentices and distribute to apprentices
- check that apprentices have the correct assessment
- advise apprentices of emergency/evacuation procedures

The invigilator/facilitator must advise apprentices that:

- mobile devices (such as phones, smartwatches etc) are not allowed in the assessment room. Any unauthorised items that have been taken into the assessment room must be placed out of reach of the candidates before the assessment starts. This would normally be at the front of the assessment room or a similar arrangement that allows the invigilator to control access to the items
- unless the assessment is an *'open book'* assessment, any material should be removed from their desk
- 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/facilitator **MUST:**

- announce clearly to apprentices when they may begin
- specify the start and finish time of the assessment, and the earliest time that apprentices can leave the assessment room
- remind apprentices that they cannot communicate in any way with, ask for help from or give help to another apprentices while they are in the assessment room. Apprentices may not communicate with colleagues or otherwise using social media, email or other tools

The invigilator/facilitator **MUST NOT:**

- make any comment where an apprentice believes that there is an error or omission on the assessment. However, in this situation, the invigilator must refer the matter to the AIM EPA delivery team
- give any information to apprentices 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 an apprentice

During the on-site controlled assessment

Invigilators/facilitators must supervise apprentices at all times during the assessment.

This means that invigilators/facilitators:

- must give complete attention to this duty at all times
- are required to move around the assessment room quietly and at frequent intervals, giving regular time checks

Summoning help during an assessment:

- When a lone invigilator/facilitator is present in an assessment, they must be able to summon help in case of an emergency without leaving the room or disturbing apprentices. A mobile phone may be used and must be switched to silent alert.

Apprentices who arrive late:

- Apprentices who arrive within thirty minutes of the start of the assessment can be allowed to enter the assessment room and sit the assessment, without causing undue distraction to others.
- Apprentices who arrive more than thirty minutes after the assessment has started cannot sit the assessment at this time and must not be allowed to enter the assessment room.

Leaving the assessment room:

- Apprentices must not leave the assessment room before at least thirty minutes of the assessment time has elapsed (other than in an emergency/medical situation). Where apprentices are permitted to leave before the finish time, they must be instructed to do so quietly, without causing undue distraction to others.
- If an apprentice requires a toilet break this must be accompanied by the invigilator/facilitator or another member of the AIM team, ensuring no other apprentices are left unsupervised.

Ending the assessment:

- Invigilators/facilitators should give sufficient notice to apprentices, by giving fifteen minute and five-minute warnings prior to the finish time.
- All assessment materials must be collected and placed in secure storage prior to submitting for marking.

- No indication should be given to apprentices as to whether it is believed that they have passed or failed the assessment.
- Assessments must be sent to the specified location within the specified timeframe of the assessment.

Controlled assessment venue requirements

Invigilators/facilitators must ensure that controlled assessments take place in a suitable environment. **This means that:**

- any room in which a controlled assessment is held must provide apprentices with appropriate conditions for taking the assessment. Particular attention should be given to conditions such as heating, lighting, ventilation and noise
- display material (such as posters, wall charts, information leaflets) which might be helpful to apprentices must not be visible in the assessment room
- a reliable clock (or other suitable time keeping device, eg time displayed via a computer screen) must be visible to each apprentice in the assessment room. The clock/display must be large enough for all apprentices to read clearly
- there must be a sign, clearly visible to others in the building, that an assessment is taking place
- seating arrangements must prevent apprentices from seeing the work of others. In particular, the minimum distance in all directions from centre to the centre of apprentice's chairs must be 1.25 metres. All apprentices should be seated facing the same direction
- for paper-based assessments, each apprentice should have a separate desk or table large enough to hold the papers and any additional booklets. Apprentices 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 apprentices
- for computer-based assessments, the room layout must be planned to prevent screens being read by other apprentices (there must be at least 1.5 metres from the centre of each screen to the centre of the next screen)
- there must be space for the invigilator/facilitator to sit
- the invigilator to apprentice ratio is a minimum of 1:30 for paper-based assessment and 1:20 for computer based assessment, unless specified otherwise
- where possible, there is at least one replacement computer available

Invigilators/facilitators are required to maintain records of how assessment venues meet these criteria, which must be made available to AIM on request.

Assessment notice for apprentices completing on-site controlled assessments

Section 7

Please read this notice carefully and follow the instructions. If there is anything that you do not understand, ask your invigilator/facilitator.

A	Regulations: Make sure you understand the rules
1	Be on time for the assessment(s). If you are late, you may 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. Without them, you will not be able to sit the assessment.
5	DO NOT have any material on your desk (or walls) that might give you an unfair advantage. This includes course material, leaflets or any notes that you may have made.
6	Make sure you do not take mobile devices (phone, smartwatch etc) into the assessment room.
7	DO NOT try to talk to, communicate with, or disturb other candidates once the assessment has started.
8	If you leave the assessment room unaccompanied by a member of the AIM team before the assessment has finished, you will not be allowed to return.
B	Instructions during the assessment
1	Always listen to the invigilator/facilitator and follow their instructions.
2	Tell the invigilator/facilitator at once: <ul style="list-style-type: none">▪ if you think you have not been given the correct assessment▪ if the assessment is incomplete or badly printed (if applicable)▪ if you do not have access to any additional files (if applicable)

C	Advice and assistance
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/facilitator know.
2	<p>Raise your hand during the assessment if:</p> <ul style="list-style-type: none"> ▪ you have a problem and are in doubt about what you should do ▪ you do not feel well ▪ you need a replacement pen (if applicable) ▪ you have a problem with any equipment (eg computers)
D	During the assessment
1	DO NOT leave the assessment room until told to do so by the invigilator/facilitator.
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).



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