



AIM Invigilation guidance
and exam monitoring

AIM

Document Version History

Version Number	Date	Description
2	April 2020	Invigilation guidance for proctored external assessments updated (See page 5)
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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 if you have any questions. Our organisational and business processes enable us to be able to respond quickly to the needs of customers to develop new products that meet their specific requirements.

Introduction

The aim of this document is to provide guidance for centre staff on the on-site, remote and proctoring invigilation requirements of AIM devised assessments, including exams and controlled assessments.

These requirements are not applicable to centre devised assessments.

Invigilation guidance for on-site external assessments

This section provides guidance for on-site assessments where the learners and invigilators are in the same room.

Assessments must not be invigilated by the class tutor/lecturer/teacher unless another independent invigilator is present.

Starting the assessment

Before the assessment starts, the assessment invigilator must:

- check if the learner has been granted reasonable adjustments for the assessment this 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
- check that all learners have the required photographic identification and that the relevant section of the attendance sheet has been completed
- advise learners who are unable to provide the required photographic identification that they cannot sit the assessment, and that they must leave the assessment room unless they can be identified by their tutor/lecturer/teacher
- confirm there are no conflicts of interest between invigilator and learners (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 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:

- they must write in black ink
- 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 course 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 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 at all times during the assessment.

This means that invigilators:

- must give complete attention to this duty at all times
- must not carry out any other task (eg doing other work, using a mobile phone) in the assessment room
- 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 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:

- learners 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
- learners 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:

- learners 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 learners 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:

- invigilators should give sufficient notice to learners, by giving fifteen minute and five-minute warnings prior to the finish time
- all assessment papers must be collected and placed in secure storage prior to submitting for marking
- no indication should be given to learners as to whether it is believed that they have passed or failed the assessment. The marking of external 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 timeframe 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 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, eg 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, smartwatches etc) are not allowed in the assessment room
 - assessment notice for learners
 - 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 showing the centre number and the start and finish times of the assessment
- seating arrangements must prevent learners from overlooking the work of others. In particular, the minimum distance in all directions from centre to the centre of learners' chairs must be 1.25 metres. All learners should be seated facing the same direction
- for paper-based assessments, each learner should have a separate desk or table large enough to hold the papers and any additional booklets. 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). A clock must be displayed on every computer screen in use, and a trained administrator must be available during the assessment to deal with any technical queries that may arise
- there must be space for the invigilator to sit
- the invigilator to learner ratio is a minimum of 1:30 for paper-based assessment and 1:20 for online assessment
- where possible, there is at least one replacement PC available



Invigilation guidance for AIM external assessments

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 assessment may be declared void.

Assessment notice for learners completing on-site assessments

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 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 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 you do not take mobile devices (phone, smartwatch etc) into the assessment room.
7	Use a black 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	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 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.
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).

Invigilation guidance for proctored external assessments

This section provides guidance for assessments using proctoring software. If you are planning to use proctoring, you must talk to us about your system before you start an assessment.

Proctored assessments must not be invigilated by the class tutor/lecturer/teacher unless another independent invigilator is present

Starting the assessment

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

- assessments must not be permitted to begin if any of the following requirements are not met
- if the learner 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 learner has consented to the assessment being recorded, stored, and reviewed in line with the rules for proctored assessments
- the identity of the learner has been verified using a current photographic identification before the start of the assessment. Advise learners who are unable to provide the required photographic identification that they cannot sit the assessment
- the learner must be in view at all times, sharing both their computer screen (via screen sharing) and video webcam
- the learner has switched on their microphone and the audio is clear
- the learner has completed a scan of the room where they will take the assessment using a webcam. This must be completed every time they take a proctored assessment
- the need for a steady and reliable internet connection
- the lighting in the room is bright enough to be considered 'daylight' quality
- the learner's working area is clear and tidy
- the desk and walls around the learner 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

- learners must be assessed in English (unless otherwise specified in the qualification handbook). Accessing and using a translator is not permitted, unless there are published rules for the assessment that specifically permit this
 - books
 - paper
 - pens
 - calculators
 - textbooks
 - notebooks
 - phones

During the assessment

The proctor software must record that:

- no other person has entered the room and the learner has not spoken to anyone else
- the learner 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 learners screen sharing has not frozen, stopped working or had any other issues
- the learner is not using headphones or any other type of listening equipment
- the learner 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 learner has not accessed any additional websites or programmes during the assessment

After the assessment

The centre must 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
- any voided assessments are notified to AIM by email immediately (not more than 48 hours after the assessment has taken place)

Security and storage of the recordings:

- the recordings of the learner's assessment should be stored securely for three months from the date of the assessment before it can then be securely deleted

Invigilation guidance for remote external assessments

This section provides guidance for conducting assessments through a remote video conferencing approach. 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.

If you are planning to use remote assessment methods, you must talk to us about your plans before you start an assessment.

Assessments must not be invigilated by the class tutor/lecturer/teacher unless another independent invigilator is present.

The invigilator must supervise the candidates throughout the test and give complete attention to this duty at all times.

Starting the 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 be permitted to begin if any of the below requirements are not met
- if the learner 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 learner has consented to the assessment being recorded, stored, and reviewed in line with the rules for proctored assessments
- the identity of the learner has been verified using a current photographic identification before the start of the assessment. Advise learners who are unable to provide the required photographic identification that they cannot sit the assessment
- the learner must be in view at all times, sharing both their computer screen (via screen sharing) and video webcam
- the learner has switched on their microphone and the audio is clear
- the learner has completed a scan of the room where they will take the assessment using a webcam where they will take the assessment. This must be completed every time they take a remote assessment
- the need for a steady and reliable internet connection
- the lighting in the room is bright enough to be considered 'daylight' quality
- the learner's working area is clear and tidy
- the desk and walls around the learner 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

- learners must be assessed in English (unless otherwise specified in the qualification handbook). Accessing and using translators is not permitted, unless there are published rules for the assessment that specifically permit these
- the following items are not within the learner's working area or used during the assessment, unless is an 'open book' assessment:
 - books
 - paper
 - pens
 - calculators
 - textbooks
 - notebooks
 - phones

During the assessment

The invigilator must ensure that:

- no other person has entered the room and the learner has not spoken to anyone else
- the learner 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 learners screen sharing has not frozen, stopped working or had any other issues
- the learner is not using headphones or any other type of listening equipment
- the learner 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 learner has not accessed any additional websites or programmes

After the assessment

The centre must ensure that:

- all of the above requirements have been met, and where they have not that the assessment is voided
- any voided assessments are notified to AIM by email immediately (not more than 48 hours after the assessment has taken place)

Security and storage of the recordings:

- the recordings of the learner's assessment should be stored securely for three months from the date of the assessment before it can then be securely deleted

Assessment notice for learners completing remote/proctored assessments

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

Exam monitoring

Exam monitoring is essential for maintaining and improving quality. It ensures that all relevant procedures are being followed and helps to prevent malpractice. These checks create the opportunity to comment on good practice and identify areas for improvement.

A representative from AIM will carry out exam monitoring. Centres must provide the person carrying out exam monitoring access to the premises for onsite assessments or access to remote assessment, learners and records relating to the assessments, achievements and internal quality assurance. If a centre fails to provide this access, AIM may suspend the centre's approval status subject to further checks.

AIM will conduct random audits of remote and proctored assessments. You will be required to provide the recordings of the learners' assessment for this purpose.

Centres will be monitored in line with our standard arrangements for assessing risk. Risk factors may include volume of registrations, incidents reported and 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.

Feeding back to centres

Centres will receive feedback following exam monitoring **within 10 working days**. This will identify any areas for improvement and related actions and/or good practice.

Imposing sanctions

On completion of exam monitoring, 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 Quality Assurance Manager before being applied.

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

Conditions for storing confidential materials

Assessments and other confidential material, eg answer booklets must be stored securely at the centre's registered address in a secure room, solely assigned to external assessment restricted by two to four key holders only. This is commonly referred to as a 'box within a box'. **The following requirements must be met:**

- taken from JCQ guidance

*Secure room ('the box')	
Requirement – 'a box within a box'	Note
<p>A secure room solely assigned to assessments in a fixed building, ie not a Portakabin or similar, meeting all of the following requirements:</p> <ul style="list-style-type: none"> ▪ walls, ceiling and floor of strong, solid construction ▪ solid door or reinforced door with: <ul style="list-style-type: none"> ▫ strong secure/heavy duty hinges; and ▫ security lock eg five lever mortice lock or coded keypad lock or electronic security lock; and ▪ two to four key holders only <p>The following must also be met (where applicable):</p> <ul style="list-style-type: none"> ▪ if question papers are stored in a room with windows, which are easily accessible, bars must be fitted, or the room alarmed ▪ if the room has a glass panel in or above the door, for health and safety reasons, the glass must be toughened safety glass ▪ 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 	<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>
*Secure storage facility ('the box within the box')	
Requirement – 'a box within a box'	Note
<p>The secure room(s) must contain one of the following: (with two to four key holders only)</p> <ul style="list-style-type: none"> ▪ strong non-portable safe or; ▪ non-portable security cabinet with multi-point locking system or; ▪ metal cabinet with full length external locking bar, bolted to wall or floor <p>or where a centre has large numbers of question papers to store:</p> <ul style="list-style-type: none"> ▪ metal security screen, eg roll down shutter, directly in front of open shelving 	<p>Small safes must be fixed securely in place.</p> <p>A full-length external locking bar will ensure that question papers are stored in a secure environment at all times.</p>

Appendices and Links

Appendix 1 - Further guidance and good practice for invigilation of external assessments

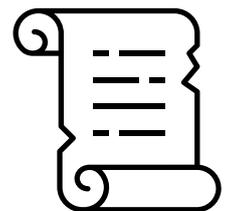
Internet

A good internet connection is required. The connection must be consistently good and clear for the duration of the assessment. If this is not, then the assessment could result in a failure. For remote/proctored invigilation if the screen freezes/jumping etc this would mean that the learner would fail the assessment.



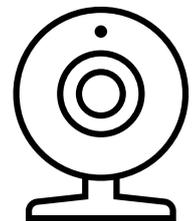
Consent to the assessment being recorded

For remote/proctored invigilation the learner must have consented to the assessment being recorded, stored, and reviewed. This could be verbally at the start of the assessment or in written form. This evidence will need to be provided if recordings are requested.



Webcam scan of the room

For remote/proctored invigilation a webcam scan of the room must be completed at the start of every learner assessment and recorded to ensure compliance with the AIM minimum requirements for remote/proctored invigilation. This is to include the whole room, the learner's working area and under the desk/table.

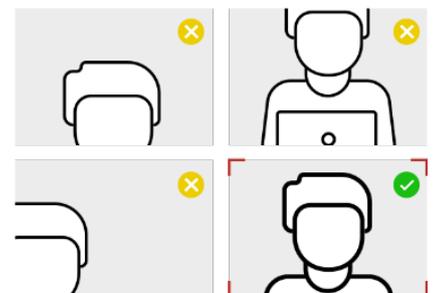


Laptop or desktop camera and positioning

For remote/proctored invigilation, learners will need a laptop or a desktop computer, with a camera.

Phones and tablets can be used if the learner does not have access to a camera however they must be set to do not disturb/aeroplane mode.

The webcam must clearly show their face in the middle of the screen. Learners must be in the line of sight at all times during the assessment, if they move out of sight and/or leave the room, their assessment will be terminated, and they have failed. You must also be able to see the learner's computer screen from the start to the end of the assessment. Both the learner and their computer screen must be visible for the entire duration of the assessment.



This is to ensure compliance with the assessment rules and that the learner is not accessing any other websites.

Photo ID

Learners identity will need to be confirmed with a passport, ID card, or a driving licence photocard. Before the assessment commences for remote/proctored invigilation when asked to hold it up to the camera, prompt learners to cover confidential such as ID number and hold it steady.



Additional requirements – lighting

Make sure that lighting is sufficient. For remote/proctored invigilation the learner must always be clearly visible, with no backlighting which puts you in shade.



Additional requirements – disturbances

The learner should be the only person in the room, having someone else in the room is a serious violation and could result in an automatic failure. No other person should enter the room and the learner must not talk to anyone during the assessment.

Learners must not talk, any noise or talking will be analysed for suspicious behaviour, learners must be in a quiet environment. No TV or radio is permitted during the assessment.

Learners will need to remain within the camera frame during the assessment, so toilet breaks are not allowed. Ensure learners are aware of this before the assessment starts.



Additional requirements – headphones

The learner must not wear headphones or earphones, because we need to be able to hear what the learner is hearing.



Secure storage

For remote/proctored invigilation the recording(s) of the assessment must be stored securely for three months with only a minimal amount of people able to access it (AIM would recommend a minimum of two people and a maximum of four). No information from or about the assessment must be discussed, disclosed or given to anyone else. Evidence of how this will be managed is required in the centre's procedure for proctoring/remote assessment. AIM may request to view these recordings so they can be audited for compliance and quality purpose and to ensure the proctoring assessment requirements are being met.

