



# IMS Policy Statements

ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018

## EXAMINATION AND INVIGILATION POLICY STATEMENT

### 1. Introduction

- 1.1 Each relevant Awarding Body has their own examination and Invigilation Policy, for these policies please refer to the relevant Awarding Bodies file located at Seaton Rail's Head Office in Bridlington.

### 2. Security of Assessment Materials Procedure

- 2.1 The sealed security bag containing the examination papers will not be opened until no more than 5 minutes before the commencement of the examination. Prior to this, the examination papers will be kept in a locked, secure place. Should the papers be taken to another site they will be transported in a secure locked container.
- 2.2 Storage of examination/assessment papers.
- 2.3 Examination/assessment papers must be stored securely.
- 2.4 If a safe is not available, a non-portable, lockable cabinet or other similar storage system must be used. The storage system must be within a secure room with restricted access.
- 2.5 If the papers are taken to another place, either before or after the examination/assessment, they must be transported in a case with a secure lock.
- 2.6 If it is considered that the security of the examination/ assessment papers has been compromised, the relevant Awarding Bodies Examination Services should be contacted immediately.
- 2.7 The relevant Awarding Body may conduct a full investigation, which may result in the affected examination/assessment papers being withdrawn from use.

### 3. The examination room

- 3.1 The examination room should provide appropriate levels of heating, lighting and ventilation, and the type of seating should be suitable for the candidate's comfort. It should be as quiet as possible. If appropriate, a sign should be displayed outside the room to identify that it is being used for an examination.
- 3.2 Only candidates and examination personnel are permitted to enter the examination room.
- 3.3 The relevant Awarding Bodies and any of the regulatory bodies (for example Ofqual) have a legal right of access to the examination room.
- 3.4 A board displaying the centre number, trainer number, the date and the start and finish times of the examination should be clearly visible to all candidates. There will also be a clock displaying the time and the invigilator will advise the learners when the examination is half way through the examination and when there is 15 minutes and then 5 minutes left.
- 3.5 The examination room must not contain displays of material that could be deemed to be of assistance to candidates in the completion of the examination.

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### 4. Desk specifications

4.1 Candidates should be seated at separate desks that should normally be placed at a distance of not less than 1.25 metres apart (measured from the centre of the desk). In circumstances where candidates share a large desk, there should be a distance of at least 1 metre between seats. All seating should be arranged to prevent candidates from being able to overlook each other's' work. Individual desks should also be arranged to ensure that all candidates face the same direction. A seating plan should be kept indicating where each candidate was seated during the examination. This should be retained for a minimum of three years.

### 5. Conduct of examinations and assessments

5.1 Invigilators have a key role in upholding the integrity of the examination/assessment process and are, therefore, responsible for its proper conduct. Seaton Rail Limited (SRL) will appoint and brief suitably-qualified and experienced personnel to act as invigilators.

5.2 Trainers who prepare the candidates for the examination/ assessment can invigilate where it is not practical to appoint an alternative. However, relatives, close associates and friends of any candidates taking the examination/ assessment cannot act as an invigilator.

5.3 Invigilators must arrive at the venue in good time and there should be at least one invigilator for every 20 candidates.

5.4 If only one invigilator is required, he/she must be able to summon assistance without leaving the examination room or disturbing the candidates, should the need arise.

5.5 The trainer, who has provided the training for the course, cannot sit the examination.

### 6. Examination and assessment

6.1 Prior to the start of the examination/assessment, Invigilators must ensure that;

- The room is set up correctly
- A clock showing the accurate time is clearly visible to all candidates
- Adequate checks are carried out to confirm the identity of all candidates (a record of the type of photographic identification provided by each candidate for each examination must be kept by the centre for three years)
- Only the official examination/assessment stationery is issued to candidates
- The seal on the examination papers has not been broken
- Candidates only bring into the room equipment required to complete the examination/assessment
- Any unauthorised items, materials and equipment (including mobile phones, iPods, etc.) are collected and placed out of the candidates' reach.

### 6.2 Starting the examination/assessment

6.2 Before candidates can begin their examination/assessment, the invigilator must:

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- inform candidates that they are now subject to the rules of the examination/assessment and that they must not communicate with any other candidates during the examination/assessment
- ensure candidates understand precisely such actions that may be regarded as misconduct and the consequence of such actions
- check that candidates have brought in the correct writing materials
- check that candidates have the correct papers
- ensure the seal is unbroken on the examination papers (many Awarding Bodies chose examination papers that are supplied with a matching answer information sheet inside a sealed polythene bag – the seal must be broken by the candidate at the start of the examination. Please see relevant Awarding Bodies examination and assessments procedures)
- ask the candidates to check that the code on the examination paper matches that on the answer information sheet
- draw candidates' attention to the instructions on the front of the papers
- ensure candidates are clear about the logistics of completing answer information sheets/examination papers and what personal details they need to enter
- advise candidates of any errata notices
- announce clearly when candidates can begin and specify the time allowed.

### 6.3 During the examination/assessment

- 6.3.1 Invigilators must supervise candidates throughout the entire examination/assessment. They must be alert in their observation of candidates and must give their whole attention to the proper conduct of the examination/assessment.
- 6.3.2 Invigilators must not undertake any other activities while invigilating. For example, they cannot act as a reader or writer for any candidate requiring such assistance. These candidates will normally be accommodated in a separate room.
- 6.3.3 Invigilators should complete and sign the summary sheets or assessment results sheets if required by the relevant Awarding Bodies and or SRL.
- 6.3.4 If the invigilator is not the trainer, he/she should add 'Invigilator' in brackets after his/her signature.

### 6.4 Late arrival of candidates

- 6.4.1 Candidates who arrive after the timetabled start of the examination/assessment should generally be allowed to enter the room and to sit the paper, providing no other candidate has left the examination room prior to the latecomer(s) being admitted and it does not compromise the invigilation of the other candidates.
- 6.4.2 Late candidates may be allowed the full time if this is practical for the centre.
- 6.4.3 Invigilators should note the circumstances of a candidate's late arrival and a written report should be submitted to the Centre Manager or the Centre Administrator via email or letter.

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### 6.5 Leaving the examination room

- 6.5.1 For examinations/assessments of two hour in length, candidates who complete before the announced finishing time should be allowed to leave the examination room quietly after handing in their answer information sheets/examination papers. They cannot be readmitted.
- 6.5.2 If a candidate needs to leave the room temporarily, he/she must be accompanied by an invigilator or other member of staff to ensure that he/she does not communicate with anyone.
- 6.5.3 If a candidate needs to leave the examination room and is unable to return, the centre should complete a report and send to SRL and any other reports the relevant Awarding Body may ask for and forward it with the candidate's results to the relevant Awarding Bodies Examination Services Manager.

### 6.6 Misconduct/irregularities

- 6.6.1 If an invigilator observes any inappropriate behaviour, he/she must intervene to ensure that it does not continue.
- 6.6.2 With serious incidents of such behaviour, the candidate should be instructed to leave the examination room after having his/her answer information sheets/examination papers collected.
- 6.6.3 Any disturbance to the conduct of the examination/assessment must be recorded and a written report should be submitted to the relevant Awarding Bodies Examination Services Manager using the relevant form the Awarding Body requests as consideration may be given to the affected candidates.

### 6.7 End of the examination/assessment

- 6.7.1 Between 5 and 15 minutes before the end of the examination/assessment, the invigilator should remind the candidates of the time remaining.
- 6.7.2 At the end of the examination/assessment, candidates should be instructed to stop working. The invigilator must then;
- remind candidates to check that they have entered all the required information onto their answer information sheets/examination papers and to attach any additional sheets securely
  - collect all answer information sheets/examination papers before candidates leave the room
  - ensure that answer information sheets/examination papers are transported securely before handing them to the Main Centre Contact to be forwarded to Examination Services.

### 6.8 Emergencies

- 6.8.1 If an emergency occurs during the examination – for example a fire alarm or bomb scare –the examination room must be evacuated in accordance with the instructions of the appropriate authority.

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- 6.8.2 A report detailing the date and time of the incident must be recorded, and a written report should be submitted to the Course Director at SRL and any other relevant form that the Awarding Body may request.
- 6.8.3 If, during evacuation, the candidates have been closely supervised and the invigilators can be assured that there has been no breach of examination security, i.e. candidates did not communicate with each other, nor any other person, nor consult any books or notes while they were out of the examination room, then the examination may be resumed and the remaining time permitted should be calculated according to the time lost during the evacuation.
- 6.8.4 If it is considered that the security of the examination has been compromised, then a report should be sent to the SRL Course Director there may also need to complete the relevant forms that the Awarding Body may request.

### 6.9 Return of examination materials

- 6.9.1 All examination materials (answer information sheets, summary sheets, continuation sheets, candidates' examination scripts, scoping documents, controlled assignments, candidate assessment records and assignments where relevant and applicable) must be returned to SRL Head Office on the same day as the examination/assessment in an envelope labelled 'results'. If this is not possible, then these documents must be kept in secure storage and returned to SRL Head Office the next day.
- 6.9.2 The Main trainer must sign all the examination documents named above. If the trainer has not acted as the invigilator, the trainer should countersign the summary sheet.
- 6.9.3 All reasonable adjustment and special consideration forms should be included in the same envelope as the examination/assessment papers, if they have not been sent before the examination SRL will make and retain copies of all of the above examination materials until the certificates are received when all of these copies – except that of the summary sheet – may be securely destroyed.
- 6.9.4 SRL will retain a copy of the relevant Awarding Bodies examination summary sheet for a minimum of three years.
- 6.9.5 SRL will ensure safe and timely delivery of all results to Examination Services by ensuring that recorded or registered delivery is used. The centre should retain the records of delivery for a minimum of three years.
- 6.9.6 SRL cannot be held responsible for any loss of or damage to examination materials during transit.

### 7. Course/ Examination feedback/ Evaluation forms

- 7.1 Evaluation/ feedback forms will be issued to the trainer from SRL and the trainer will in turn issue them to the learners at the end of the course, some learner's packs will contain their feedback forms, so learners are able to give feedback as they progress through the course. These forms must be completed and returned by the learners and be handed back to the trainer. The trainer will then return them to SRL Head Office, with all the other completed

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relevant paperwork within the allocated time frame. All comments and feedback are logged, stored and where and when necessary commutated to the relevant trainers, Course Administrators and the Awarding Body of the examination/assessment.

7.2 Where a learner or client has requested a written response this can be provided by SRL.

7.3 If SRL delegate the responsibility of invigilation to a third party, the centre must:

- ensure that the invigilator has read and understood the 'Procedure for examination and assessment'
- record the invigilator's name and position and his/her relationship to the candidate(s).

### 7.4 Re-sits/resubmissions

7.4.1 In the event of a candidate failing to achieve a pass grade, he/she may re-sit an examination or resubmit an assignment as per the relevant Awarding Bodies guidelines on re-sits/resubmissions.

7.4.2 If the candidate fails again, he/she will have to undertake the full training programme before being allowed another attempt at the examination or the assignment. SRL reserves the right to charge for any re-sit/resubmission and or additional training.

## 8. Processing of results

8.1 It is crucial to SRL that all examination and assessment documents are completed clearly and correctly. Incorrect or missing information will delay the processing of results. Batches with incorrect or missing information will be referred to SRL to take appropriate action; we will endeavour to resolve the issues as quickly as possible by contacting the centre directly.

8.2 If no response from the learner/client is forthcoming after 14 days, (some Awarding Bodies will allow six months, please see relevant Awarding Bodies procedures and policies) correspondence will cease and the batch of results with incorrect or missing information will be archived.

8.3 On contact from the learner and or client and receipt of the correct or missing information, results processing will recommence.

8.4 All completed examination and assessment documents should be labelled 'Results' and sent to SRL Head Office in Bridlington.

8.5 SRL will scan all relevant documents and send the results to the learners and or clients recorded delivery by Royal Mail.

8.6 If the certificates/results do not arrive with the learner or client within 14 days, they are to contact SRL as soon as possible.

This policy will be reviewed annually and updated as necessary.

Reviewed by:

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Shane Seaton

Managing Director

Date: 9<sup>th</sup> January 2023

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