

## STOCKBROKERS AND FINANCIAL ADVISERS ASSOCIATION LIMITED SUPERVISOR GUIDELINES

**These guidelines outline the online examination scenario for the suite of Stockbrokers And Financial Advisers Association Programs**

- National DTR Accreditation online examinations
- Responsible Executive series (RE) online examinations
- Professional Diploma in Stockbroking online examinations, including:
  - Accredited Derivatives Adviser Level 1 Accreditation (ADA 1)
  - Accredited Derivatives Adviser Level 2 Accreditation (ADA 2)
  - Core 1 - Securities and Managed Investments Accreditation
  - Foreign Exchange Accreditation
  - Margin Lending Accreditation
  - Superannuation Accreditation

### Who can supervise online examinations?

Online examinations require a supervisor to be appointed at the time of enrolment. Please note that the independent supervisor nominated by the candidate to supervise an online examination must be:

<b>National DTR Accreditation online examinations</b>	<b>Responsible Executive series (RE) online examinations</b>	<b>Professional Diploma in Stockbroking online examinations</b>
A Responsible Executive Compliance Officer Senior DTR Operator A suitable person at the Australian Consulate (e.g. a Training or Education Officer), a Minister of Religion, Justice of the Peace, Doctor, Lawyer, Accountant, Police Officer	A Compliance Officer, the HR Manager or Training Manager at the candidate's place of work  A suitable person at a government recognised tertiary institution or school, (e.g. Teacher, Senior Administrator, Librarian)  A suitable person at the Australian Consulate, (e.g. a Training or Education Officer) a Minister of Religion, Justice of the Peace, Doctor, Lawyer, Accountant, Police Officer, Human Resources Manager	A Compliance Officer, the HR Manager or Training Manager at the candidate's place of work  A suitable person at a government recognised tertiary institution or school, (e.g. Teacher, Senior Administrator, Librarian)  A suitable person at the Australian Consulate (e.g. a Training or Education Officer), a Minister of Religion, Justice of the Peace, Doctor, Lawyer, Accountant, Police Officer, Human Resources Manager

### Online Examination conditions

- The Stockbrokers And Financial Advisers Association online examinations are all closed book, except the Margin Lending Accreditation. Margin Lending candidates only may bring the study guide to the online examination.

### Access to the Online Examination

- Candidates access the online examination system via the online portal, called CloudAssess. CloudAssess access is provided to them in their welcome or supervisor email.
  1. Candidates log in to CloudAssess using their own login and password
  2. The supervisor must also log in to CloudAssess, and release the examination to the candidate (instructions below in [Appendix 1 – Instructions for Supervisors to release and unrelease examinations](#))
  3. The examination will be released
  4. The candidate accepts the declaration and 15 minutes reading time commences prior to the examination commencing
  5. Once the candidate has completed all questions, or the allocated time has run out, the online exam is submitted
  6. Supervisors must again login to CloudAssess at the conclusion of the examination attempt to view the results and choose whether the candidate’s results are satisfactory or not satisfactory.
  9. Once the result has been selected the supervisor will be asked to confirm the record should be locked
  10. The supervisors should then unrelease the exam to ensure it is no longer viewable by the candidate

## General Supervision Guidelines

It is the responsibility of the supervisor to ensure that all requirements for the conduct of examinations as detailed in this document are complied with. Please familiarise yourself with these requirements as early as possible, before the examination. It is vital that all examinations are supervised in a professional and consistent manner, within the guidelines set out below.

- Supervisors are in charge of the examination room and should observe the candidate(s) for the duration of the examination.
- Should the supervisor need to leave their observation area, they should arrange for a responsible person to assume temporary supervisory responsibility.

### Examination Venue

Candidates Examination Environment – all items need to be checked before returning the ‘Online Supervisor Application Form’.

A suitable venue should include the following features:

- Minimum 15-inch monitor with 56k Modem access to a high quality Internet Service Provider, with minimum transmission rates of 28.8k. For a 15-inch monitor we recommend that your screen is set to 1024 x 768 pixels
- Must have correct web browser version i.e. Internet Explorer 5.5 or above.

**Please note: Netscape is not suitable for this examination.**

- Access to the examination website should be checked and verified
- Good lighting
- Quiet surroundings (no undue noise that may disturb candidates)
- Comfortable room temperature (heated in winter and cooling in summer where appropriate)
- Candidate works independently with no assistance from persons, books, or electronic aids
- Fresh drinking water, clean glasses (or paper cups) and tissues should be provided.

To protect the integrity of the exam process, other security requirements for the duration of the exam should include:

- No printer shall be accessed by the candidate
- No screen capture or similar software shall be accessed by the candidate
- No email shall be accessed by candidates
- No mobile phone

### Furniture Requirements

Appropriate desks and chairs must be used for the conduct of examinations. Standard requirements are as follows:

- Desk size for examinations should not be less than 1m X 1.5m in area or two separate desks equivalent in total area.
- Desks should be no less than 1 meter apart
- Under no circumstances should more than 1 candidate sit at the same desk

Additional requirements are as follows:

### **Routine Conduct of Examination**

#### **Candidate Materials (closed book)**

- Pen and blank paper can be used by the candidate once reading time is finished and the exam has commenced.

#### **Candidate Materials (open book, elective: Margin Lending accreditation only)**

- The Margin Lending accreditation is an open book examination. Students may bring their Margin Lending course materials only into the examination room and may refer to these throughout the examination attempt. All other examinations are closed book.

#### **Calculators (open and closed book exams)**

- Only non-programmable/non text retrievable, hand held calculators are permitted during an examination unless otherwise specified
- The following models of business calculators are suitable: Texas Instruments BAII Plus, Hewlett Packard 10B, 10BII, 12C and Sharp EL-733, EL-733A, EL-735.
- Supervisors should check any programmable memory is cleared and confiscate unauthorised calculators.

#### **Verification of Identity**

- Personally verify the identity of the candidate sitting online examination or
- Photographic Identification: Supervisors must verify the identity of each candidate on arrival. Either the person is well known to the supervisor or photographic identification is required to be shown by the candidates in forms such as a passport or driver's license – or -
- If for any reason a candidate is unable to produce photographic identification, then the candidate must supply a Statutory Declaration to the supervisor on arrival at the examination location, or the supervisor must complete an Incident Report form, allowing the Stockbrokers And Financial Advisers Association the opportunity to contact the candidate after the exam.

#### **Unauthorised Material**

- Supervisors should remind candidates that under the Stockbrokers And Financial Advisers Association's discipline regulations it is considered cheating if any examination materials or items which may offer the candidate any advantage are found, whether or not the candidate had the intention of using those materials.
- Supervisors should provide all candidates with a final opportunity for any such material to be removed from the examination room and advise that if such material is found from this point onwards, the matter will be reported to the appropriate authorities within the Stockbrokers And Financial Advisers Association.

#### **Candidate Queries**

- Supervisors must not answer queries by candidates concerning possible inaccuracies or ambiguities. Candidates should be instructed to continue with their examination whilst a ruling is sought from the Stockbrokers And Financial Advisers Association. When a ruling is given it will normally fall into one of two categories:
  - a) Typographical error or mistake within the examination.
  - b) Supervisors will be instructed to ask the candidate to answer the question as it is presented and query the question in the incident space provided in the Examination Incident Report Form.

### **Temporary Absences**

- Candidates should not be permitted to leave the examination room except for necessary purposes and must be kept under supervision during such absences. No extra time is to be allowed for completion of exams, and candidates must not be given any opportunity to speak to other candidates.

### **Special Consideration**

- Candidates who become ill may leave the room but must be kept under constant supervision. No extra time is to be allowed to the candidates and the circumstances are to be included in the Examination Incident Report Form. An Application for Special Consideration Form must be completed in such cases. This form can be provided to candidates on request via the Stockbrokers And Financial Advisers Association.

### **Technical difficulties**

- These should be reported in the Incident report section of the Examination Incident Report Form.

### **Misconduct and Unauthorised Material**

- Misconduct during an examination attempt will result in immediate withdrawal from current accreditation enrolments.

### **Close Supervision Required**

- It is a paramount duty of supervisors to prevent the possibility of a candidate availing themselves of unfair assistance. Supervisors must be alert for any actions that appear even mildly abnormal: these may be an early indication of an attempt to gain an unfair advantage. Supervisors cannot physically search or otherwise bodily handle a candidate who may be suspected of having concealed unauthorised material about his/her person. However a supervisor may request a candidate to roll up a sleeve, stand up or lift a jumper, etc and should report any non-compliance with such requests. All instances of suspicious behaviour should be reported on an Examination Incident Report Form, even if direct intervention was not deemed appropriate at the time.

### **Unauthorised Material Detected**

- Candidates are not allowed to bring mobile phones or text references into the examination room for closed book examinations.
- If a supervisor believes that a candidate has taken information into an examination room which should not have been taken in, or is using unfair means to write examination answers, the supervisor should confiscate all notes and unauthorised aids and submit an Examination Incident Report Form.
- No printing of exam material (other than Examination Complete page) is to be allowed. Any printed material shall be confiscated and destroyed by the supervisor.

### **Collusion**

- Candidates are not permitted to converse with each other, pass notes, exchange materials, read another person's work etc. If it is suspected that candidates are acting in collusion, the supervisor should make a note of their names, separate the candidates if practicable and report the details in writing to the Stockbrokers And Financial Advisers Association. Supervisors must not enter into arguments with candidates and should endeavour to avoid a general disturbance. Supervisors are empowered to discontinue the examination of a candidate only when interference to other candidates is occurring.
- No web browsing is allowed or access to other courseware by electronic or other means.

### **Examination Complete**

- Supervisors must collect all notes and materials from the examination room at the end of the examination.
- If an Incident has occurred during the examination, the Examination Incident Report Form must be completed, signed and dated by both candidate and supervisor and returned to Western Sydney University - The College (The College RTO) via email [rto@westernsydney.edu.au](mailto:rto@westernsydney.edu.au)
- Supervisors must 'unrelease' the exam before the candidate leaves the examination room. Instructions for this can be found below in [Appendix 1 – Instructions for Supervisors to release and unrelease examinations](#)

### **Unsuccessful Candidates**

In the instance of a candidate failing an online exam, a resit can be requested. Please contact the Stockbrokers And Financial Advisers Association within 14 days of the unsuccessful attempt on 61 2 8080 3200 or email [education@stockbrokers.org.au](mailto:education@stockbrokers.org.au) to arrange payment of a resit fee. The candidate will receive an email confirming a new online examination has been made available. If a candidate is unsuccessful for a second time, this process must be undertaken again.

#### **Contact:**

**Stockbrokers And Financial Advisers  
Association Helpdesk**  
Tel: (61) 2 9852 4110  
Email: [rto@westernsydney.edu.au](mailto:rto@westernsydney.edu.au)

#### **Contact:**

**Responsible Executive (RE) and  
National DTR Accreditations**  
Tel: (61) 2 8080 3200  
Email: [education@stockbrokers.org.au](mailto:education@stockbrokers.org.au)

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## Application to be an Online Examination Supervisor

Please complete all relevant details below and scan/email to the Stockbrokers And Financial Advisers Association Helpdesk [rto@westernsydney.edu.au](mailto:rto@westernsydney.edu.au)

I would like to apply for a role as a Stockbrokers And Financial Advisers Association Online Exam Supervisor (*please tick*)

National DTR  
Accreditations\*

Responsible  
Executive  
Accreditations\*

Professional  
Diploma in  
Stockbroking  
Accreditations

### Supervisor Applicant details:

Given name/s: \_\_\_\_\_ Surname: \_\_\_\_\_

Position: \_\_\_\_\_

Organisation: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ P/code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Mobile: \_\_\_\_\_

Email: \_\_\_\_\_

### Supervisor Applicant Declaration:

*Online Exam Supervisors:* I have read, understood and agree to abide by my responsibilities as described in the Guidelines.

Applicant's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Witness Name: \_\_\_\_\_

Witness Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Once approval has been granted you will receive login instructions for Cloudassess via email (sent to email address provided above). This Login must not be used by anyone other than the registered applicant. Improper use of your Login will result in deactivation of your Cloudassess account. It is the candidates responsibility to ensure the supervisor is organised timely to the scheduled online examination date.

If you have any queries regarding this process please do not hesitate to contact the Stockbrokers And Financial Advisers Association on Telephone (02) 8080 3200 or Email: [education@stockbrokers.org.au](mailto:education@stockbrokers.org.au)

\*Refer '[Who can supervise exams](#)' on page 1 of the supervisor guidelines

## Online Examination Incident Report Form

*Please ensure both the Supervisor and Candidate complete and sign the appropriate sections of this form and scan/email to the Stockbrokers And Financial Advisers Association Helpdesk [rto@westernsydney.edu.au](mailto:rto@westernsydney.edu.au)*

An incident occurred during the online examination for: *(please tick)*

National DTR  
Accreditation

Responsible  
Executive

Professional Diploma in  
Stockbroking Accreditations

**Candidate** \_\_\_\_\_ **ID:** \_\_\_\_\_

**Given name/s:** \_\_\_\_\_ **Surname:** \_\_\_\_\_

**Candidate Signature:** \_\_\_\_\_

**Exam date/time:** \_\_\_\_\_

**Incident Details** - Supervisors to complete this section (see Supervisor Guidelines):

E.g. Misconduct, technical *(note the details of any error messages received)* or special consideration issues

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**I verify that:**

- I have established the identity of the candidate completing this online assessment is true and correct as per the Online Examination Supervisor Guidelines.
- I ensured that the Online Examination Guidelines were adhered to throughout the examination period stated above.

Supervisor's Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_\_

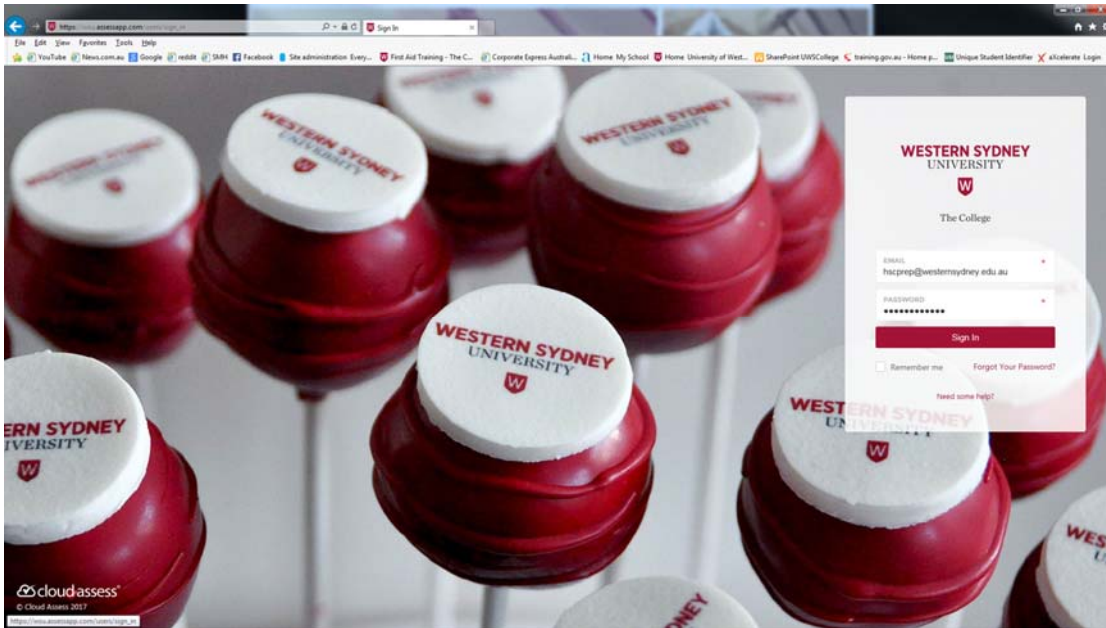
Exam Venue: \_\_\_\_\_



## Appendix 1 – Instructions for Supervisors to release and unrelease examinations

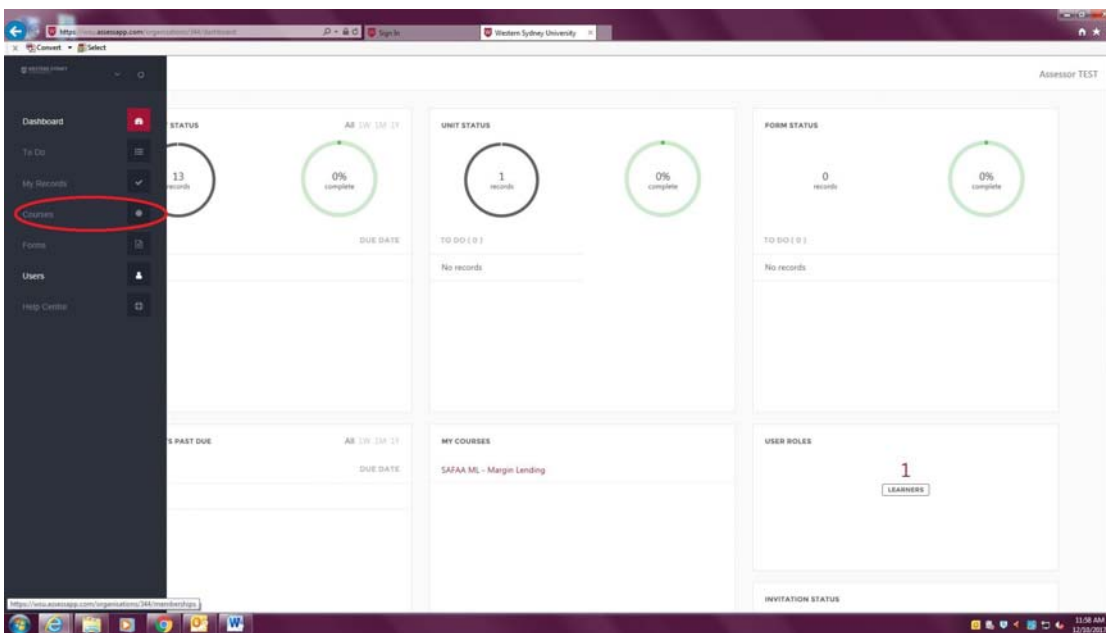
### Step 1

Log in to CloudAssess via the link emailed to you, using the login supplied and password you created:



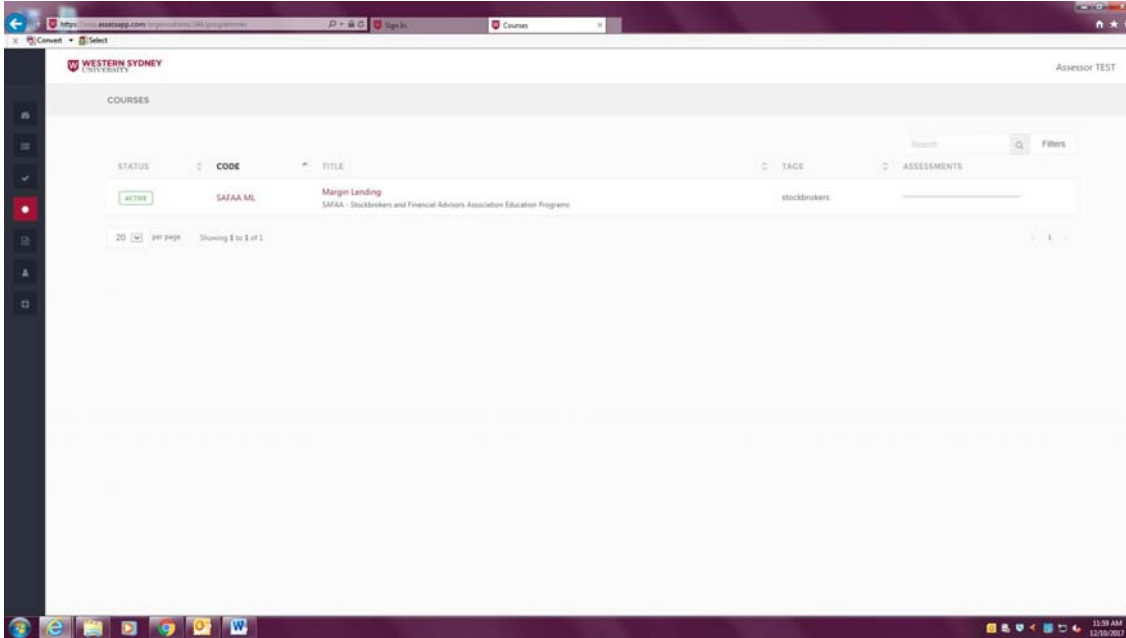
### Step 2

From the Assessor Dashboard, go to the Menu on the left-hand side and click on 'Courses'



**Step 3**

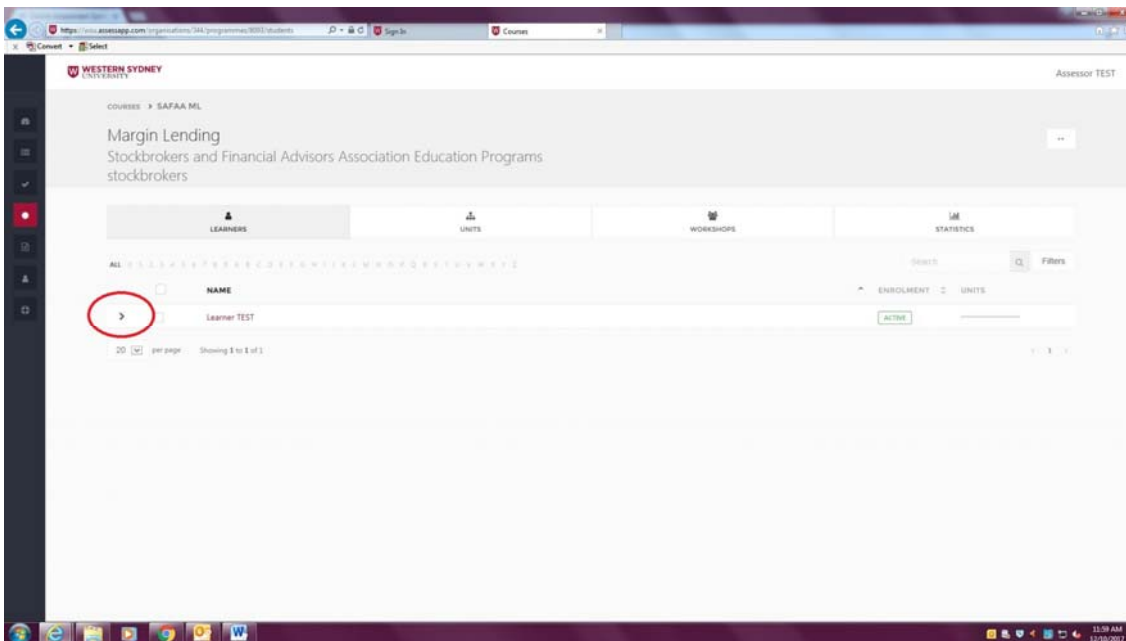
Click on the course that applies to your current candidate



**Step 4**

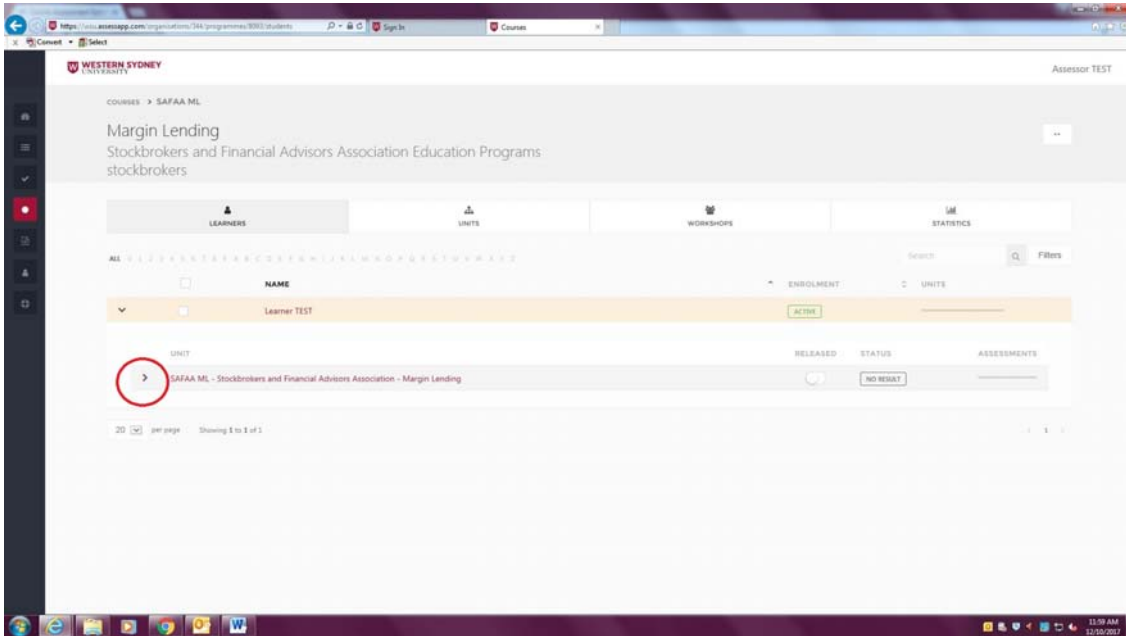
Find the candidate in your list of students

Click on the arrow on the left-hand side next to the candidate's name to expand the record. This will show you the units they are enrolled in.



**Step 5**

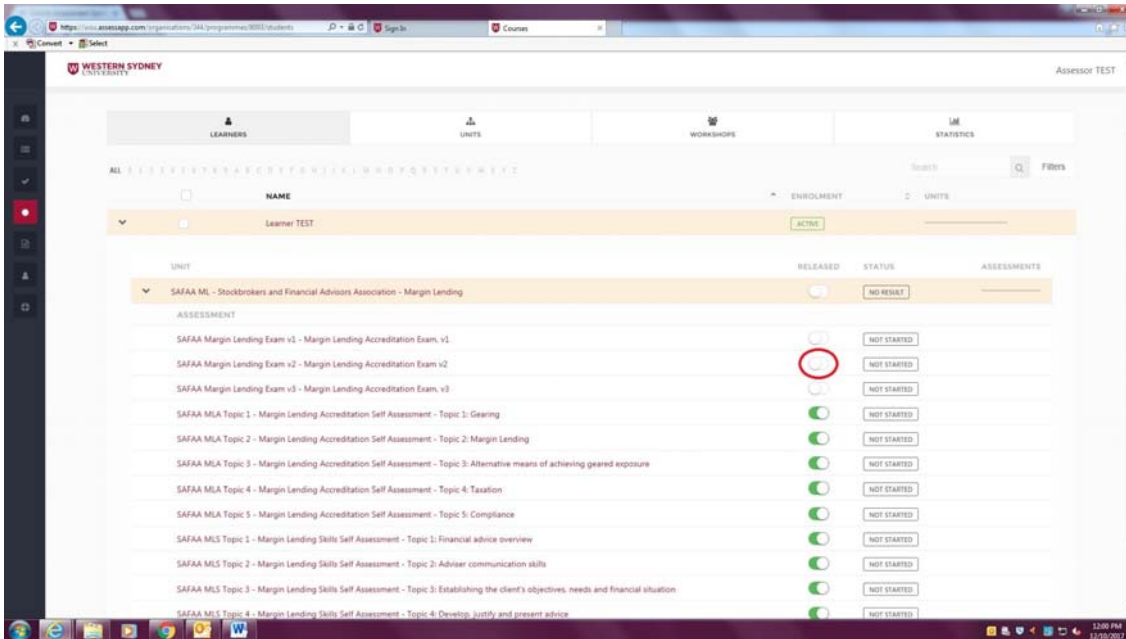
Click on the arrow on the left-hand side of the Unit name to expand the record. This will show you the assessments within that Unit.



### Step 6

Click on the toggle buttons underneath the word 'Released' next to the examination name.

*NOTE: There will be several versions of the examination. Release ONLY ONE examination. Each version of the examination contains a different set of questions. There are multiple versions of the examination available in the case of a candidate needing to re-sit the exam.*



### Step 7

Once the examination has been released, it will be available for the candidate to complete. Have the candidate log in to Cloudassess and complete the examination.

### Step 8

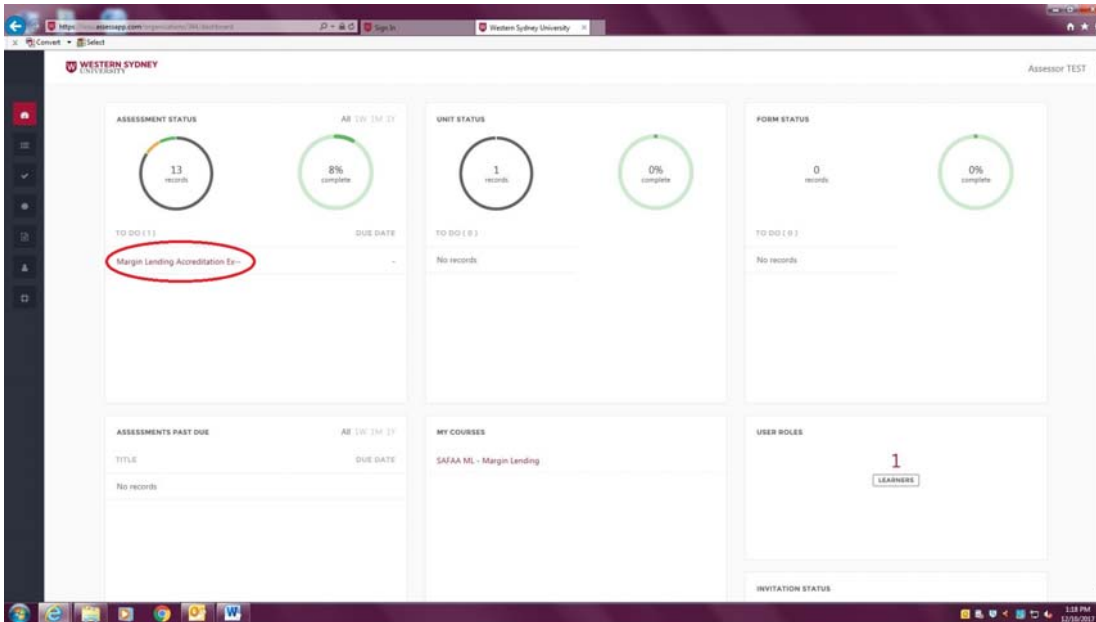
When the candidate has completed the examination, they will be given a result showing how many correct and incorrect answers they have. They will be given access to review the questions and see which questions they answered correctly and incorrectly.

Supervisors will need to log back in to CloudAssess to finalise the candidate's result and unreleased the exam so they student can no longer view the questions.

Log back in to CloudAssess as per Step 1.

**Step 9**

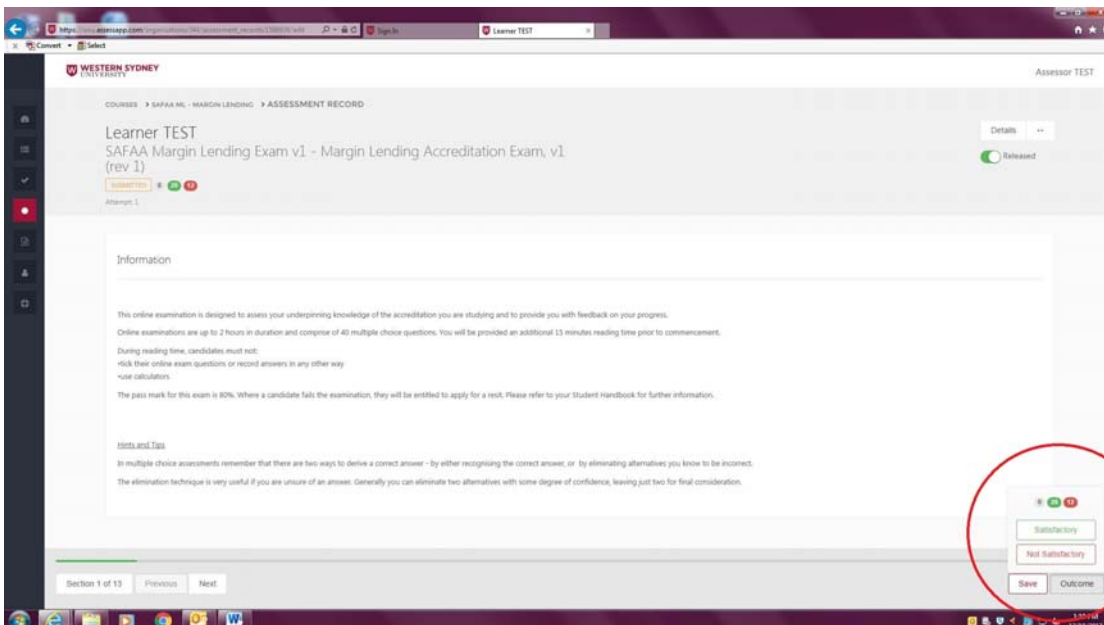
Your CloudAssess Dashboard will now show an assessment that is ready for review in your 'To Do' field. Click on the assessment name.



**Step 10**

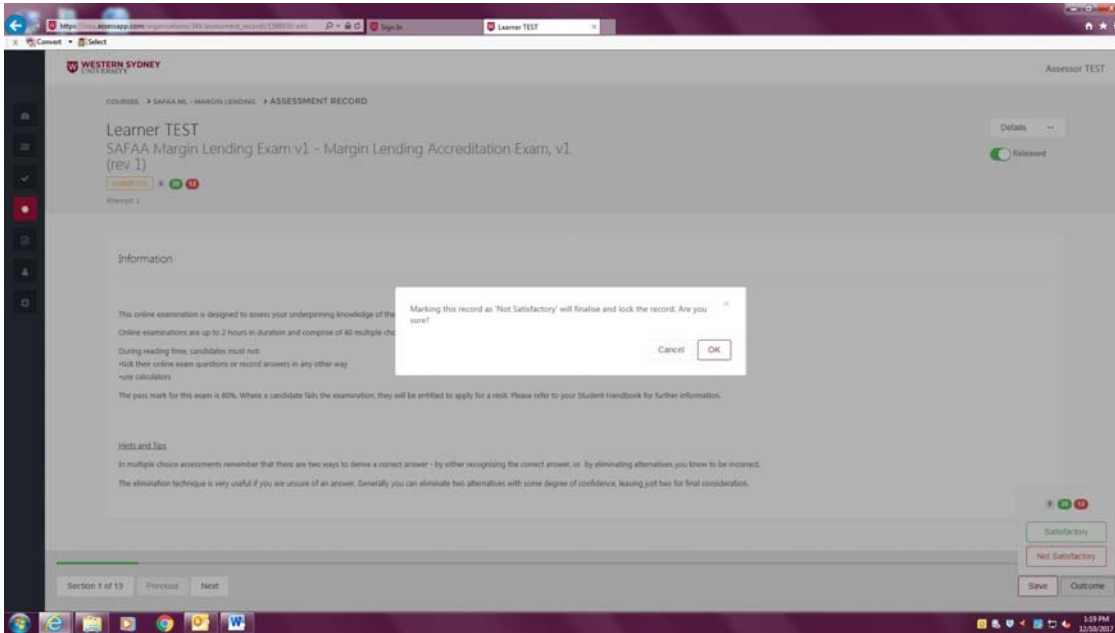
Review the candidate's result and determine whether they have enough correct answers to have reached a pass mark of 80%. If so, click 'Satisfactory' and 'Save'.

If the candidate has not reached an 80% passmark, click 'Not Satisfactory' and 'Save'



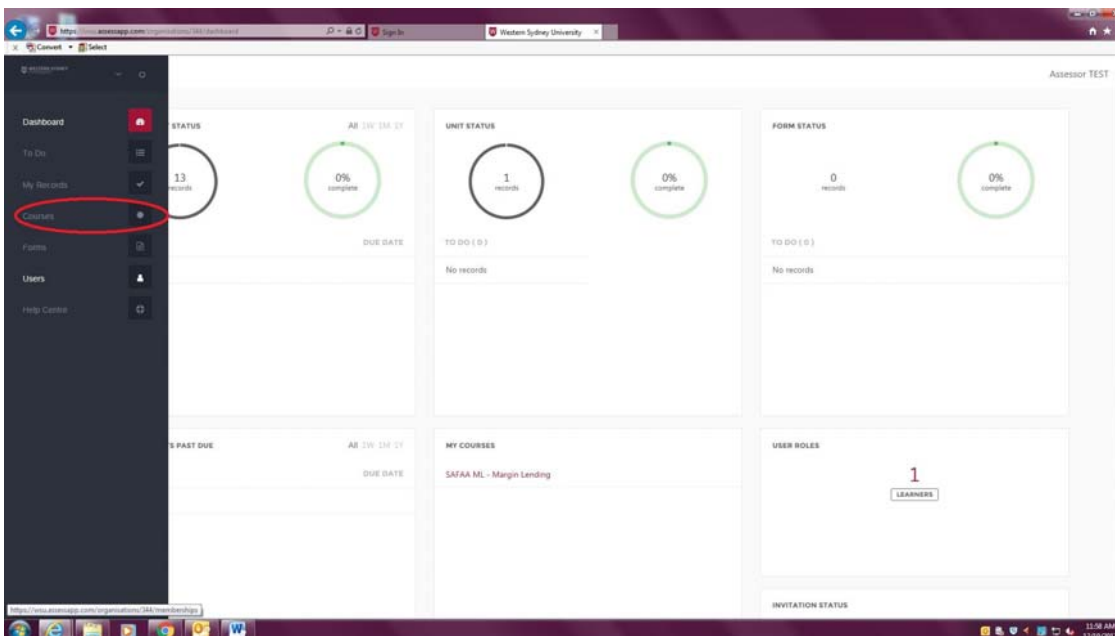
**Step 11**

Click 'OK' on the pop-up window to finalise the result and lock the exam record.



**Step 12**

Within the menu on the left-hand side, click on 'Courses'



### Step 13

Click the arrows on the left-hand side to expand the candidate's record, and unclick the toggle button next to the examination name, so that the button is no longer green. This will 'unrelease' the exam and ensure the candidate can no longer review the exam questions.

