



RESPONSIBLE EXECUTIVE PROGRAM – SUPERVISOR 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.

All 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:

- 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.

Supervision Guidelines

It is vital that all examinations are supervised in a professional and consistent manner, within the guidelines set out below.

General Supervision

- 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.
- **Closed book exam**

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 ie 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 metre 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

- Pen and paper can be used by the candidate once reading time is finished and the exam has commenced.
- Calculators
- Only non-programmable/non text retrievable, hand held calculators are permitted during an examination unless otherwise specified

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 drivers 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 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 an offence of cheating to take into any examination materials or items which may offer the candidate an advantage, 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.

Access to the Online Examination

- Candidates access the online examination system via a link provided to them in their welcome email.
 1. Candidates must enter their identification number (6 digit number) and password (a mixture of letters and numbers) to access the examination.
 2. The Supervisor must enter their PIN to activate the examination.
 3. Candidates have 15 minutes reading time and 1 hour examination time.
 4. Supervisors must enter their PIN at the end of the examination to submit.

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

Close Supervision Required

- It is a paramount duty of supervisors to prevent the possibility of 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; indicate in the incident report section of the Examination
- Incident Report Form, the stage reached whilst in possession of the unauthorised material or aids; permit the candidate to complete the examination; report the incident, both verbally and in writing to the Stockbrokers And Financial Advisers Association at the earliest opportunity.
- 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 the Stockbrokers And Financial Advisers Association by fax on 61 2 8080 3299

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 on 61 2 8080 3200 to arrange payment of a resit fee. The candidate will receive an email confirming a new online examination to be made available. The candidates pin number will also be reactivated at this stage. If a candidate is unsuccessful for a second time this procedure must be undertaken again. Unsuccessful candidates will be emailed a diagnostic report detailing a breakdown of their exam results to assist them with revision prior to resitting the exam.

Examination Contact

Tel: (61) 2 8080 3200

Fax: (61) 2 8080 3299

Email: education@stockbrokers.org.au

Responsible Executive - Application for Online Examination Supervisor

Please complete all relevant details below and **fax to the Stockbrokers And Financial Advisers Association on +61 (2) 8080 3299** or email education@stockbrokers.org.au

I would like to apply for a role as a Stockbrokers And Financial Advisers Association Online Exam Supervisor

Applicant details:

Given name/s: _____ Surname: _____

Position: _____

Organisation: _____

Address: _____

City: _____ State: _____ P/code: _____

Telephone: _____ Fax: _____

Email: _____

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 your username and PIN details via email (sent to email address provided above). This PIN must not be used by anyone other than the registered applicant. Improper use of your PIN will result in deactivation of your PIN.

If you have any queries regarding this process please do not hesitate to **contact the Stockbrokers And Financial Advisers Association.**