



# Supervision of Examinations

## Procedures and Guidelines

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## 1. PURPOSE

The purpose of these procedures and guidelines is to support the General Academic Regulations Part 5 Assessment and Granting of Credit and Part 6 Academic Discipline. The procedures and guidelines provide background information and detailed assistance for staff managing examinations. The procedures and guidelines promote transparency and consistency across the University to support a fair and consistent examination opportunity for students.

## 2. SCOPE

These guidelines apply to formal summative examinations that are coordinated centrally (by the university/faculty/school/department) rather than a controlled assessment e.g. test conducted in class during the normal teaching week by individual class lecturers.

### Background

Examinations are a controlled form of assessment and are used to test student performance against a set of expected standards in a supervised formal environment that maximises the opportunity for fair and equal consideration of all students and valid and reliable results.

Examinations may be open book, closed book or have other restrictions.

Examinations are not normally supervised by the lecturer of the class or paper.

These are general guidelines. Where further details are required this is a matter for faculties to discuss.

## 3. KEY TERMS

**Controlled assessment events** - are assessments that occur under controlled or test conditions. The student undertakes the assessment within a set time period and under set conditions including place and access to supporting materials. Tests, examinations and presentations are examples of controlled assessment events.

**Non-controlled assessment events** - are those that take place in the students' own time and place where there are no conditions on the timeframe other than the due date for completion. Essays, reports and exhibitions are examples of non-controlled assessment events.

**Open book** – any material may be brought in and used during the examination (excluding calculators or electronic devices unless specified).

**Restricted book** – specified material that may be brought in and used during the examination. The examination paper or cover sheet should explain the specified material.

**Closed book** – no reference material (with the exception of calculators, where permitted) is allowed in the examination.

**Calculator** – unless otherwise specified, a standard calculator that is non-programmable without data storage facilities, portable and silent in operation.

**Dictionary** – an electronic device or a hard copy dictionary of words in any language, includes a translating dictionary and thesaurus.

**Exam Coordinator** – a person/department authorised to oversee Exam Supervisors and coordinate centrally supervised examinations. This role may also be referred to as the Examinations Office.

**Exam Supervisor** (also known as invigilator) – persons responsible, under the authority of the faculty/school/department for supervising an examination to ensure it is properly conducted in accordance with the University's policies and procedures. Note, 'invigilator' is the term most commonly used if the person is not an academic staff member.

**Examination paper** – also called the assessment paper, comprising a cover sheet and the written assessment tasks. The coversheet outlines instructions regarding completing the examination, examination conduct, materials permitted in the examination room and other special instructions to students. The assessment paper comprises the written assessment questions.

**Examiner** – the lecturer or teaching team who writes and marks the assessment task.

**Floating Supervisor** – a supervisor who is not assigned to a particular room and is available to assist Exam Supervisors.

**Student ID** – a unique identification code for each student, assigned on enrolment to the University.

**Misconduct** – means any breach of sections 6 and 7 of the Discipline Statute (AUT Calendar).

## **4. POINTS TO CONSIDER**

### **4.1 Determining the Use of Supervised Examinations**

Each faculty/school/department or programme should have a policy outlining when it is deemed better to have a controlled assessment event 'centrally' and/or 'externally' supervised i.e. not supervised by the class lecturer. Factors for consideration include but are not limited to:

- independence from the teaching staff to ensure the integrity of the assessment event
- a method for controlling the assessment event to improve the validity and reliability of the assessment
- the weighting of the piece of assessment
- the size of the student cohort for a particular paper
- efficiencies gained by running examinations at the same time, combining examinations in the same room and sharing other resources.

### **4.2 What is the difference between a test and an exam?**

An examination is a significant controlled assessment event that takes place outside of normal teaching weeks, either mid semester or end of semester.

An examination is a piece of controlled assessment usually worth at least 40% of the value of the overall assessment in the paper or equivalent. For example, it covers a similar proportion of the learning outcomes. A test is a controlled assessment that is a less significant piece of assessment in terms of its overall weighting or contribution to the student's final grade. This assessment event is usually supervised by the lecturer.

Normally, examinations would be centrally supervised. It is up to each faculty to determine if they want any tests 'centrally' supervised. Each programme, school or faculty would not normally have the class lecturer supervising an examination as it potentially compromises the independence of a significant piece of assessment.

## 5. THE EXAM SUPERVISOR

### 5.1 Exam Supervisor Role

The position of Exam Supervisor is one of responsibility as infringement of the examination rules/procedures by any party (examiner, examination supervisor, student) is taken very seriously.

Exam Supervisors are responsible for ensuring that examinations are properly conducted in accordance with the policies and procedures of the University and faculty/school/department. Exam Supervisors work under the guidance of the Exam Coordinator or the faculty/school/department and are expected to be conversant with the procedures in these guidelines and the faculty/school/department Exam Supervisor's handbook.

In most cases there is one Exam Supervisor assigned to each examination room. That person's overall duty is to ensure that students may write examinations and demonstrate their academic ability under circumstances that are as conducive as possible. In order to do this the Exam Supervisor is responsible for:

- the security of the examination material once it is received from the faculty/school/department/Exam Coordinator and until it is returned.
- the set up of the room **pre examination**.
- recording student attendance and identification.
- the smooth coordination of the **examination** in that room including ensuring:
  - students receive appropriate instruction on the examination conditions
  - materials are limited to those permitted by instructions on the examination paper/cover sheet
  - the opportunity for students to focus on their own examination is maximised
  - any disruptive events are minimised.
- the **post examination** return, to the Examination Coordinator, of all completed examination papers, answer booklets (if required) and unused material.
- accurately recording and reporting on any events of misconduct or other events that disturb the examination.
- reporting back on all aspects of the examination event to the Examination Coordinator.

## **5.2 Exam Supervisor Conduct**

Exam Supervisor conduct can enhance or deter the smooth operation of an examination and influences the behaviour of students in the examination setting. Student anxiety is reduced when examinations are well organised and run smoothly. The following guidelines help facilitate the smooth running of examinations.

Exam Supervisors and Floating Supervisors will:

- be available 45 minutes in advance of the examination time in order to collect materials, instructions and set up the room. Late arrival may cause the exam to be delayed and put students and staff under stress.
- be available for their allocated supervision schedules. Schedules may not be swapped or altered in any way without contacting the authority co-ordinating the examinations.
- contact the authority co-ordinating the examination as early as possible in the event of illness or delay.
- wear comfortable clothing that doesn't catch on desks, ensure other items such as jewellery and shoes do not make a noise.
- avoid talking/whispering once the exam has started, except where necessary.
- refrain from reading or writing unless in relation to the examination.
- ensure mobile phones are off, do not smoke or consume food in the examination room (water is permitted).
- patrol unobtrusively in a random manner during the examination to ensure no cheating or distraction is occurring.
- deal with any exceptional circumstances in a calm and professional manner.
- not interpret questions or write answers for students.

## **6. EXAMINATION PROCEDURES**

### **6.1 Pre Examination Procedures**

Pre-examination procedures are carried out before the examination timing commences.

- 6.1.1 Exam Supervisors should report to the designated collection and distribution point at least 45 minutes before the examination is due to commence, in order to collect the box of examination material (see Appendix 1 Examination Materials).
- 6.1.2 Exam Supervisors are responsible for all examination materials until their return to the collection and distribution point, boxes should be signed out and back in.

### **6.2 Notification of Examinations**

- 6.2.1 Students will be notified of examination dates and times at least three weeks after the start of the semester. This advice will communicate that room details will be announced by noon the day before the examination.
- 6.2.2 The exact room location will be posted by noon of the day before the examination.

6.2.3 Good practice is to use more than one method of communication to advise students of examination rooms e.g. AUT Online and daily notices in key areas.

6.2.4 **Examination start times** - during the University's official examination period, examination start times will be scheduled Monday to Saturday in one of three sessions commencing 9 am; 2 pm; and 6pm. Most examinations should take place Monday to Friday 9am or 2pm with Saturdays used only if necessary.

In most circumstances there is a reading time.

NB Reading time requires students to study the requirements of the examination, to plan the order and timing for each question and to read scenarios.

The reading time starts on the hour.

For example: students enter the room at 8.50am, the exam reading time starts at 9.00am. For a two-hour exam this is five minutes therefore the exam writing time starts at 9.05am. The exam finishing time is 12.05pm. (See 6.7.5, 6.7.6).

### **6.3 Room Set-up**

6.3.1 The examination room must be arranged before the students are allowed to enter. Estates or other university staff will have moved furniture and set up rooms to accommodate students.

6.3.2 Desks should be spaced evenly to minimise the opportunity for students to communicate inappropriately or view others work, and sufficiently widely to allow Exam Supervisors to walk between them.

6.3.3 There should be a working and accurate clock in the room.

6.3.4 The Exam Supervisor should be familiar with the emergency procedures and escape routes for the room.

6.3.5 If a room is found to be excessively cold, hot or noisy the Exam Supervisor should report to the Exam Coordinator either by phone or via the floater before the commencement of the examination. They will attempt to remedy the problem. If the problem cannot be resolved the examination will continue and the problem will be documented on the Exam Supervisor Report Form (see Appendix 4).

6.3.6 In examinations where technical expertise is required (e.g. computer-based assessments or labs) a relevant academic or other staff member may be required to set up the room.

### **6.4 Distribution of Exam Papers**

6.4.1 Exam papers, answer booklets, ID slips and any other required examination materials are placed on desks before students enter. Where space allows, materials should be placed on alternative desks/rows or as per a seating plan.

6.4.2 Set exam papers face down on the desk, set answer booklets and ID slips face up.

6.4.3 Advise students as they enter that they are not permitted to move papers to other desks.

## **6.5 Information for Students**

6.5.1 Exam Supervisors should use the whiteboard and datashow/projector to clearly display important information to students: The following information should be put on the whiteboard before students enter the examination room:

- paper details – the paper name and number
- other relevant information, such as grouping students in the room by surname blocks e.g. surnames A-M
- the start time, the examination length broken down into even time increments that are crossed off during the examination, the finish time of the examination
- the leaving and no-leaving times
- any special instructions relating to the examination paper
- the Exam Supervisor's name.

## **6.6 Student Access**

6.6.1 The Exam Supervisor will ask students to enter the room 10 minutes before the examination is due to start.

6.6.2 Once students are seated the Exam Supervisor will make an announcement regarding student conduct, identification processes, examination conditions and specific examination instructions. (See also Appendix 2 for a sample student announcement checklist.)

6.6.3 Student conduct

- No talking in the examination room from the point of entering the room until students leave the room.
- If a seating plan is used, advise students to 'only sit in the assigned seats, do not switch places with any other student'.
- Students are not permitted to leave in the last 15 minutes.
- Students must remain in their seats and put their hand up when requiring assistance.
- No sharing of any items or talking to any other student.
- Pens must be put down as soon as the Exam Supervisor signals the end of the examination.

6.6.4 Fire and safety

- Students must be advised of the fire and safety procedures before the examination commences.
- They will either be supplied to the Exam Supervisor or will be found on the AUT Emergency Procedures documentation located on the wall of all classrooms.



#### 6.6.5 Student identification

- The student is required to fill in the identification slip before starting the examination.
- The student must fill in both their name and their student identification number to facilitate the University's anonymous marking policy.
- The student must place their ID card on their desk where it can be verified by the Exam Supervisor.
- The Exam Supervisor collects the ID slips at the start of the examination and checks them against the attendance roll. See section 7.1 Irregularity with Student Identification.

#### 6.6.6 Examination conditions

- The Exam Supervisor must state name and code of the paper, the length of the examination, the reading time and reading time conditions (read only, no highlighting, no use of calculators). The code and title of the paper(s) must be noted on the whiteboard.
- The Exam Supervisor must clearly state the rules of the examination type - closed book, open book, restricted (Exam Supervisors advise students of the specific rules in relation to the specific exam).
- Dictionaries and calculators are not permitted unless specified.
- Only pens, pencils, erasers, ID card, single tissues and a bottle of water/juice are permitted on desks.
- Electronic devices including mobile phones must be switched off and in students' bags or given to the Exam Supervisor.
- All watches, with any alarms switched off, must be placed in the students' bags or given to the Exam Supervisor.
- Bags, including pencil and glasses cases, wallets, hats, tissue packaging are to be placed at the front of the room or other designated area.
- The examination time used will be noted on the whiteboard and crossed off every 15 minutes. An announcement is made to signal 15 minutes and then 5 minutes before the end of the examination.

#### 6.6.7 Examination paper instructions

- The student ID number must be written on each page of the answer booklet and any extra sheets. The student name is not included in order to ensure student confidentiality and independent marking.
- Rough notes are to be written in the back of the answer booklet, no extra paper is permitted for rough notes. Extra paper is available for writing answers.

- Answers must be written in English and in ink, not pencil. Answers may be written in te reo Māori provided there is proof of prior arrangement with the faculty/school/department.
- All examination papers, answer booklets, answer sheets must be handed in to the Exam Supervisor before leaving the room. No paper can leave the examination room.

#### 6.6.8 Commencing the examination

- Announce the reading time (according to the examination room clock).
- Announce the commencement of the writing time.

### 6.7 Rules for the Conduct of Examinations

These are the examination procedures and rules carried out once the examination has started and up to the point when the examination has ended.

- 6.7.1 A student may enter the examination room within 30 minutes of commencement of the examination. However, no extra time is allowed if a student arrives during this period. The time of late arrival is noted on the attendance roll.
- 6.7.2 If a student arrives after the first 30 minutes, the student may not normally enter the examination room. Prior to the examination commencing a notice should be put on the door, directing late arrivals to contact the faculty/school/department office. The faculty/school/department office will determine if the student may join the scheduled assessment (see Appendix 1 Examination Materials).
- 6.7.3 In exceptional circumstances, where there has been a major unforeseen incident affecting a large group of people (e.g. significant transport disruption) the faculty/school/department office may extend the late arrival period as described under 6.7.1 to a maximum of 1 hour. In accordance with clause 6.7.1 no extra time is allowed if a student arrives late and the late arrival is noted on the attendance roll.
- 6.7.4 No student shall be permitted to leave the room during the first 30 minutes unless for unexpected reasons, e.g. illness or needing to use the toilet.
- 6.7.5 In accordance with clause 6.7.3, the amount of time during which students are not permitted to leave the room as outlined under 6.7.4 will be adjusted to match the newly agreed period for late arrival.
- 6.7.6 The reading time allowed for examinations is advised.
- 6.7.7 Examinations of two hours duration, 5 minutes reading time.
- 6.7.8 Examinations of over two hours, 10 minutes reading time.
- 6.7.9 Students are permitted to read only during the 'reading time', i.e. no writing, underlining or highlighting of any kind. No use of calculators during the designated reading time. The reading time may not be shortened.
- 6.7.10 No student shall be permitted to leave the room during the last 15 minutes of the examination time. When several students elect to leave in the last 15 minutes this

causes a disturbance for those students still completing the examination. Students leaving before the last 15 minutes will have the exit time noted on the attendance roll.

- 6.7.11 All writing shall cease at the end of the examination time.
- 6.7.12 If a student continues to write after the Exam Supervisor has signalled the end of the examination time, then their paper will be removed. This situation is dealt with under Section 7.5 Misconduct.
- 6.7.13 No student shall be re-admitted to the examination room after they have left unless during the full period of their absence they have been under approved invigilation. No extension time will be given to compensate for the time lost.
- 6.7.14 Students are not permitted to smoke or consume food during an examination. An exception to this is water/juice bottles.
- 6.7.15 No student shall impede or disturb the examination or prejudice the performance of other students. Should this take place, then the Exam Supervisor may order any student to leave the examination room. Disciplinary proceedings may follow (see Section 7.5 Misconduct).
- 6.7.16 The Exam Supervisor will report any disturbances on the Exam Supervisor Report Form.

## **6.8 Ending the examination**

The termination of the examination needs to be efficiently and calmly handled to ensure the security of papers and fairness to all students. The Exam Supervisor is required make a number of announcements in order to co-ordinate the termination of the examination and the return of all materials.

- 6.8.1 Announce to students there are 15 minutes remaining and that students may not leave the room in the last 15 minutes.
- 6.8.2 Announce to students when there are five minutes remaining.
- 6.8.3 Signal the end of the examination when the examination time is up and ask students to stop writing and put pens down.
- 6.8.4 Advise students that they must remain seated and remind them they may not talk to each other until they leave the room.
- 6.8.5 Remind students to check they have entered their student ID number on every page of the answer booklet and any additional pages.
- 6.8.6 Advise students of other agreed faculty processes for ensuring all examination materials are accounted for. For example, using supplied string to attach the identification slip and other loose sheets to the completed examination booklet before handing in to the Exam Supervisor.
- 6.8.7 Collect all examination papers, answer booklets, extra paper for answering questions and other special materials that were issued (e.g. multi-choice answer sheets, printed case studies).

- 6.8.8 Collect and count any surplus papers.
- 6.8.9 Establish that the number of exam papers and worked answer booklets matches the number of students present on the roll. Record the number of blank scripts.
- 6.8.10 Once all examination material has been accounted, announce that students are permitted to leave the room. The students should be asked to leave quietly and not congregate where other examinations are still in process.
- 6.8.11 An examination may be finished early only if ALL students have left the room before the scheduled completion time.

## **6.9 Post Examination**

- 6.9.1 The Exam Supervisor is responsible for the security of the examination material until it is signed for by the Exam Coordinator.
- 6.9.2 The Exam Supervisor double checks the used and unused examination material against the Examination Checklist and against the roll.
- 6.9.3 Check the room for any unauthorised material and note in the Exam Supervisor's report.
- 6.9.4 The Exam Supervisor shall ensure that all examination material, answer booklets, identification slips, and completed student roll are returned to the collection and distribution point.
- 6.9.5 The Exam Coordinator will check that the number of examination papers, answer booklets and/or worked scripts corresponds to the number of students marked as present on the student roll. All other unused material must also be accounted for.
- 6.9.6 Additional faculty/school/department processes in relation to the co-ordination of all examination resources are completed. An example would be supervisors sorting examination books, scripts, used and unused paper into separate piles before handing on.
- 6.9.7 The Exam Coordinator then signs that hand-over of the examination material has taken place.

## **6.10 Reporting**

- 6.10.1 The Exam Supervisor completes the Exam Supervisor Report Form and records any untoward events that occurred during the examination.
- 6.10.2 Untoward events include:
- cases of suspected cheating or misconduct (an additional form may be supplied for instances of misconduct).
  - cases of illness
  - students leaving the examination room as a result of misconduct
  - students arriving late
  - any noise or disturbance outside of the room which Exam Coordinators consider may have affected the students' performance

- an emergency evacuation of the examination room
- any other exceptional occurrence which, in the judgement of the Exam Coordinator, needs to be brought to the attention of university staff.

## **7. OTHER EXAMINATION SUPERVISION PROCEDURES**

### **7.1 Irregularity with Student Identification**

#### **7.1.1 Possible identification irregularities are:**

- a student's name not appearing on the examination attendance roll; or
- the student cannot produce an acceptable form of ID (student ID card, passport, driver's licence); or
- the photo does not match the student.

#### **7.1.2 In all instances of identification irregularity the student is allowed to proceed with the examination.**

#### **7.1.3 In order to reduce anxiety at the start of the examination, verification procedures for irregularities in identification should take place while the student is sitting the examination (without disruption to the student) or after the examination is completed.**

#### **7.1.4 The individual concerned is to be informed by the Exam Coordinator that subsequent to the examination, an investigation will be carried out and if it is found that the student is not eligible to take the examination, the paper will not be marked (see Appendix 3 Student Identification Declaration Form).**

#### **7.1.5 Where a student name is not listed on the attendance roll – the student should be asked to write down the name of their lecturer. During the examination the Exam Coordinator will check with the lecturer, programme administrator or relevant staff member and on the student management system (ARION) that the person should be sitting the examination.**

#### **7.1.6 Where a student does not have their AUT ID card another form of photo ID will be accepted. During the examination the alternative ID can be matched to the student details and photo held on ARION.**

#### **7.1.7 Where the photo does not match the student, the student should be able to sit the examination. The Exam Supervisor will write down the name of the student. The individual will be escorted to the Exam Coordinator upon completion of the examination and undergo an ID check.**

#### **7.1.8 If a student does not have any photo ID, the student should be able to sit the examination. The Exam Supervisor will write down the name of the student. The individual will be escorted to the Exam Coordinator upon completion of the examination and undergo an ID check. This may include filling out a Student Identification Declaration Form (see Appendix 3) and forwarding a photo ID within 24 hours of the completed examination. See the following summary table.**

## Summary

Situation	Proceed with Exam	Student Action	Exam Invigilator Action
Not on attendance roll	✓	Supply lecturer name, paper, stream.	Exam floater verifies student details with Exam Co-ordinator or equivalent against ARION records.
No AUT ID card	✓	Supply another form of photo ID e.g. passport.	Exam floater verifies student details with Exam Co-ordinator or equivalent against ARION records.
Photo ID doesn't resemble the student	✓	Remain in the exam room until the end of the exam. Accompany exam supervisor to the Exam Co-ordinator (or equivalents).	At the end of the exam, accompany the student to the Exam Coordinator or equivalent for verification against ARION records.
NO AUT or other photo ID	✓	Remain in the exam room until the end of the exam. Accompany exam supervisor to the Exam Co-ordinator (or equivalents). If required, return to the Exam Co-ordinator or equivalent within 24 hours with photo ID.	At the end of the exam, accompany the student to the Exam Coordinator or equivalent for verification against ARION records. Student may be required to complete a Student ID Declaration form and return with photo ID within 24 hours.

## 7.2 Breaks, Toilet Breaks

- 7.2.1 Students wishing to leave the room should raise their hand to request permission.
- 7.2.2 An Exam Supervisor may permit a student to leave the examination room for a brief period during an examination if the Exam Supervisor is satisfied that there is a good reason for doing so. In such circumstances, the student shall be accompanied by the Floating Supervisor.
- 7.2.3 Any student wishing to leave the room to use the toilet shall be accompanied by a Floating Supervisor (where possible) of the same sex. The Floating Supervisor shall wait in the wash basin area or outside the toilet block (as appropriate) and then return the student to the examination room.  
NB a possible process is that floaters check the toilet areas during reading time or the early part of the examination time.
- 7.2.4 The reason for the absence and time taken shall be recorded against the student roll.

## 7.3 Illness

- 7.3.1 If a student becomes ill during an examination the Exam Supervisor will ask the Floating Supervisor to contact the Exam Coordinator (if necessary the student will be escorted to AUT Health services).
- 7.3.2 In the case of an emergency such as suspected severe illness AUT Emergency Procedures documentation on the wall of every classroom will be followed.
- 7.3.3 The student's examination papers will be collected and included with all other examination papers (the time and reason for leaving should be noted on the front of the examination paper as well as on the student roll).

- 7.3.4 The incident is to be recorded on the Exam Supervisor Report Form.

## **7.4 Authorised/Unauthorised Material**

- 7.4.1 Where the examination type is open book or restricted, then the examiner or paper coordinator shall specify the restrictions in relation to what may be taken into the examination room (see Section 8.1 Paper Co-ordinator/Academic Staff Roles). This information is provided to the Exam Coordinator and should also appear on the examination paper coversheet. See Appendix 1 for a list of examination materials.
- 7.4.2 Calculators and dictionaries are not permitted in any examination unless specified.

## **7.5 Misconduct**

### ***GAR Part 6 Academic Discipline***

#### ***Section 2 Dishonesty during assessment or course of study***

- 2.1 *The university academic regulations shall be breached if a student during an assessment and/or course of study:*
- 2.1.1 copies from, or inappropriately communicates with, another person*
  - 2.1.1 is found in possession of any unauthorised equipment or material*
  - 2.1.3 plagiarises the work of another person without indicating that the work is not the student's own work*
  - 2.1.4 collaborates with others in the preparation of material, except where this has been approved as an assessment requirement*
  - 2.1.5 resubmits previously submitted work without prior approval of the examination board*
  - 2.1.6 uses any other unfair means.*

- 7.5.1 The following actions may be deemed to constitute a breach under item 2.1:

- communicating with or copying from another student during an examination
- communicating during an examination with any other person other than the Exam Supervisor or another authorised member of staff
- introducing any written, electronic, audio or printed materials into the examination room unless expressly permitted by the examination instructions
- continuing to write after the Exam Supervisor has announced that the examination is finished.

### **7.5.2 Misconduct Procedures**

- If a student is suspected of misconduct the Exam Supervisor must deal with the matter as unobtrusively as possible in order to avoid disturbing other students in the examination room.
- The Exam Supervisor shall confiscate any relevant evidence (e.g. unauthorised material) along with the examination paper and submit these with the Academic Dishonesty Report Form (see Appendix 6).
- The time of any disturbance should be noted on the attendance roll, against the student's name. The time is also recorded in the student's answer booklet. If a room plan is used, the seating arrangement/s of student/s affected can be identified.
- Disturbances may include: removing unauthorised material, students talking, sharing materials, sharing by viewing or allowing others to view their work, making

excessive noise, a phone or pager going off, other noises or actions that distract students.

- The student should be allowed to continue with the examination.
- If the student persists with the irregularity or becomes agitated they should be asked to leave the room and the Floating Supervisor should be contacted to take the student to the Exam Coordinator.
- If a student becomes aggressive the Floating Supervisor should contact security and the Exam Coordinator.
- Immediately following the examination, the Exam Supervisor shall submit a full report of the matter (see Appendix 4, Exam Supervisor Report Form).
- The report shall be returned to the Exam Coordinator along with the examination paper, answer booklets, other paper, unauthorised material or any other evidence.
- The Exam Coordinator will compile all the evidence, including the floor plan if used and submit the report to the Associate Dean/Head of School.
- At no stage should a staff member discuss the possible outcome of any suspected breach of the General Academic Regulations with students.

## **7.6 Special Arrangements**

Special arrangements are available for students who are likely to have impaired performance if required to sit examinations under normal conditions. These arrangements are put in place to help them participate fully under equitable examination conditions.

7.6.1 Forms of impairment that might qualify for special arrangements may include:

- a disability, either permanent or temporary (the student needs to be registered with Disability Student Support to obtain examination assistance)
- being prevented from sitting a university examination due to circumstances beyond their control
- being seriously impaired in their examination performance due to sudden illness, injury, or any other critical circumstance.

7.6.2 Not all situations require a student to be registered with Disability Student Support. In some circumstances special arrangements are made with the faculty/school/department and may be as a result of input from the lecturer or other university student services.

7.6.3 Following are examples of alternative examination arrangements made for students with impairments:

- additional time
- a reader/writer
- to be in their own examination room, (alternatively students may be able to share a room with another student, with permission given by both parties)



- examination material to be photocopied in a different format e.g. A3 size
- additional software on a computer or laptop, with technical assistance if feasible
- a specific exam login and password so they are not accessing their own account but have access to required software.
- an empty memory stick supplied so files can be printed by the Exam Coordinator and incorporated with related exam scripts for marking.
- an Exam Supervisor skilled in the needs of these students without actually helping them to complete the examination (e.g. able to help them into a seat, ensure their resources are within their physical range).

7.6.4 These arrangements would need to be considered by the faculty/school/department and Exam Coordinator.

#### 7.6.5 Disability Student Support

- Students who are registered with Disability Student Support undergo an individual needs assessment and reasonable examination arrangements are discussed with the student and lecturer and put in place through this office.
- It is the student's responsibility to:
  - complete an Exam Arrangements Application Form (obtainable from Disability Student Support) for each examination and return it to Disability Student Support
  - ensure the forms are sent to them no later than two weeks prior to the examination date
  - Ensure they have received notification from Disability Student Support that their arrangements have been confirmed.
- Once the student has met with Disability Student Support the Unit will liaise with the faculty/school/department. If an arrangement is made for special assistance, the Unit will arrange the reader/writer if required and will supply the student with a form outlining their requirements and extra time allowed.

7.6.6 Cut off dates for final examination special arrangements may vary in some circumstances and students should check with Disability Student Support.

## 7.7 Emergency Evacuation Procedures

7.7.1 Evacuation points for buildings in the event of any emergency are posted in the foyer of each university building and in each room and lecturer theatre. Exam Supervisors will ensure that they are fully aware of the location and evacuation route out of the building.

7.7.2 If the fire alarm sounds, the building must be evacuated immediately. If examinations are in process when the alarm sounds, the Exam Supervisor must ensure that:

- all students are familiar with the nearest evacuation route. This should be covered in the pre examination announcement to students
- students know to take the stair and not the lift
- students leave ALL examination material on their desk

- student leave in a quick and orderly manner, one row at a time
  - students leave their personal belongings in the room
  - students in examinations must report to and stay with their Exam Supervisor once outside.
- 7.7.3 Once outside students must report to the Exam Supervisor at the assembly area and remain with them. Students must not talk to each other during this period as examination conditions prevail until a decision is made on whether the examination will resume or be abandoned.
- 7.7.4 The Exam Supervisor will record the name and ID number of any student found talking. Disciplinary measures may be taken for breaches of examination conditions.
- 7.7.5 The Exam Supervisor will remain with the students at all times until instructed by appropriate authorities that it is safe to return, or the Exam Coordinator decides, after appropriate consultation, to abandon the examination.
- 7.7.6 If it is possible to resume the examination, the Exam Supervisor will lead students back to the examination room.
- 7.7.7 The Exam Supervisor shall instruct students to endorse their answer booklets with the words 'examination interrupted' at the appropriate place.
- 7.7.8 The Exam Supervisor will give students compensatory time equivalent to the period from the time the emergency arose, to the resumption of the examination, plus an additional 10 minutes.
- 7.7.9 The Exam Supervisor will inform students of the revised finishing time for the examination and that the interruption and time taken will be reported.
- 7.7.10 The Exam Supervisor will record the time and duration of the emergency on the Exam Supervisor Report Form. This form is to be submitted to the Examination Coordinator, who will forward it to the Chair of the Examination Board for consideration.

## **7.8 External Disturbances**

- 7.8.1 In the event of loud and persistent noise or disturbances outside the examination venue, the Exam Supervisor will request that the Floating Supervisor attempts to trace the cause of the disturbance and contacts the Exam Coordinator to arrange for it to cease if possible.
- 7.8.2 Whether or not the external disturbance or noise ceases, the time and duration of the disturbance should be noted on the Exam Supervisor Report Form. This form is to be submitted to the Examination Coordinator, who will forward it to the Chair of the Examination Board for consideration at the next meeting.

## **7.9 Complaints**

- 7.9.1 If an Exam Supervisor wishes to make an official complaint about any matter, this shall be done in writing after the examination.

- 7.9.2 If a matter arises whereby a member of staff or student wishes to make a complaint about an Exam Supervisor or another student in the examination room, the complaint should be made in writing after the examination.
- 7.9.3 Refer to the normal complaints procedure of the University for dealing with matters for students or staff.

## **8. OTHER ROLES AND RESPONSIBILITIES**

Faculties/schools/departments may consider adding further examination roles when a minimum of two staff members are involved in examinations running at the same time. Consideration should be given to combining examinations, standardising assessment start times or other processes that make these roles viable.

### **8.1 Paper Coordinator/Academic Staff Roles**

- 8.1.1 Where an examination is supervised by external staff, the role of the paper coordinator is to ensure the examination papers, instructions and other relevant examination material is provided to the Exam Coordinator well in advance of the examination date and to collect the examination papers from the Exam Coordinator after the examination.
- 8.1.2 In advance of the semester commencing or by a date agreed by the faculty/school/department, paper coordinators should supply the faculty/school/department or Exam Coordinator with details of mid semester and final examinations to be held: paper name and code, duration of the examination and special requirements.
- 8.1.3 Following these procedures, the paper coordinator determines the examination conditions for open, mixed and closed examination types (see Section 3 Key Terms). These are the rules in relation to allowing material such as calculators, textbooks and other material into the examination.
- 8.1.4 The above instructions must be clearly explained on the examination cover sheet. Exam instructions should also request that answers are written in the answer booklet provided.
- 8.1.5 Good practice would be to use an Examination Checklist, made available to staff involved in the examination process. The checklist may be signed to verify that the paper coordinator has reviewed the final printed exam. It is then submitted to the Exam Coordinator with the printed examination papers (see Appendix 1 Examination Materials).
- 8.1.6 Students should receive information on the examination content, instructions and conditions well in advance of the examination, preferably in the student handbook or equivalent.
- 8.1.7 Examination papers for photocopying should be delivered to Printsprint in hard copy only and kept secure until required. Faculties may have a policy regarding printing examination papers or additional material on particular coloured paper to ensure their visibility.

- 8.1.8 If the examination has a component (e.g. multi-choice) that is answered separately, this answer sheet should be printed on coloured paper and include the paper name, paper code and a space for the student's ID number. To ensure independent marking and student confidentiality, only student identification numbers (not names) are written on all examination material.
- 8.1.9 Printed examination papers are delivered to the Exam Coordinator at least 10 days prior to the commencement of the exam period.
- 8.1.10 During the exam the paper coordinator or other appropriate academic staff member from the paper should be available on site (normally within their office) or by other arrangement with relevant faculty staff, for the duration of the examination. NB The purpose of this is so staff can be available to resolve either a technical problem or a problem on the examination paper that prevents students from answering the questions.
- 8.1.11 After the examination the paper coordinator will collect the examination papers from the Exam Coordinator and will manage their security and distribution to markers.

## **8.2 Exam Coordinator Role**

- 8.2.1 The Exam Coordinator will be a faculty/school/department staff member. When more than one examination is scheduled at the same time, a person may be appointed to oversee the co-ordination of examination events.
- 8.2.2 The Exam Coordinator is responsible for the coordination and administration of all centrally supervised examinations, that is:
- examinations not supervised by class lecturers, and/or
  - examinations not usually scheduled during class time.
- 8.2.3 Co-ordination of examinations may include:
- ensuring the supervision and administration of examinations is done according to these procedures and established regulations
  - setting the exam schedule
  - booking examination rooms as required
  - communicating the examination schedule to lecturers and students
  - scheduling and coordinating exam supervisors
  - coordinating each examination event in liaison with the faculty, academic staff and exam supervisors
  - scheduling alternative examinations in the event of student exam clashes and special arrangements
  - coordinating the collection and return of examination materials from/to paper coordinators
  - coordinating the distribution and return of examination materials to/from exam supervisors.
  - scheduling and coordinating examination hand back to students
  - reporting examination processes and occurrences to the Examinations Board.

### **8.3 Floating Supervisor Role**

- 8.3.1 When examinations are scheduled in more than one room and run concurrently, a person may be appointed to the role of Floating Supervisor. This person may be a staff member or an external appointment. If that person is likely to replace the Exam Supervisor for any period of time in the examination room, they should not be an academic staff person teaching or co-ordinating that paper.
- 8.3.2 Their role is to be available to assist the Exam Supervisors to ensure the students being examined are supervised at all times. They are not normally assigned to a particular room, so they are able to go from room to room periodically, to assist or relieve an Exam Supervisor. They are appointed by the faculty, school or department.
- 8.3.3 Floating Supervisor Duties
- Ensure the invigilation and administration of examinations is carried out according to these procedures and established regulations
  - Deal with any irregularity forwarded by Exam Coordinators or Exam Supervisors.
  - Secure additional materials (examination papers, answer booklets, spare paper).
  - Escort students to the bathroom.
  - Offer temporary relief for the Exam Supervisor.
  - Contact the faculty/school/department/Exam Coordinator for assistance in an emergency.
  - Contact the nominated staff member on site if required.

## **9. POLICY BASE**

AUT Calendar, Discipline Statute

AUT Calendar, General Academic Regulations Part 5 Assessment and Granting of Credit

AUT Calendar, General Academic Regulations Part 6 Academic Discipline

## **10. ASSOCIATED DOCUMENTS**

AUT Calendar.

## **11. APPENDICES**

### **11.1 Appendix 1, Examination Materials**

Examination materials supplied to the Exam Supervisor include but are not restricted to:

- a. A coversheet for each examination, outlining the following information:
  - name of the paper being assessed
  - date, time and venue of the examination
  - name and contact details of the Examination Coordinator
  - name and contact details of an academic staff member who could address any specific concerns about the examination paper
  - the name and contact details of the Floating Coordinator
  - the name and contact details of security
  - the number of students in the examination
  - any specific examination information e.g. open/closed book, use of calculators, dictionaries.
- b. Examination papers
- c. Examination answer books (if required)
- d. Any other special materials for the particular examination (multi-choice answer sheets, printed case studies)
- e. Student roll
- f. List of students with any special entitlements (where appropriate)
- g. Individual attendance and ID slips
- h. Identification Declaration Form (for students with ID irregularities)
- i. Seating plan form
- j. Exam Supervisor Report Form
- k. Report on Academic Dishonesty During an Examination Form
- l. Exam Supervisor standard announcement to students
- m. Summary of Exam Supervisor instructions
- n. Safety Procedures Form
- o. Health and Safety Incident Form
- p. Door notice stating 'Exam in progress' and the process for late arriving students.
- q. 'Assistance required' door notice
- r. Pens, whiteboard markers, stapler, blue tack to affix door notices
- s. Tissues

## **11.2 Appendix 2, Student Announcement Checklist**

1. There will be no talking from this point and during the exam.
2. The fire and safety procedures are ...(these will either be supplied to the Exam Supervisor or will be found on the AUT Emergency Procedures documentation found on the wall of all classrooms)
3. The name and code of the paper are..., the length of the examination is...and the reading time is....There will be no writing, highlighting or performing calculations during reading time.
4. Ensure your student or other identification is on your desk where it can be viewed and checked.
5. Complete the identification slip and place it where it can be collected.
6. Enter the examination details on the cover of the answer booklet (and other answer sheets if supplied).
7. Write your student identification number on the top of each page of the answer booklet (and other answer sheets if supplied). Do not write your name on the answer booklet
8. Ensure any electronic devices including mobile phones, are switched off and in your bag or given to the Exam Supervisor.
9. Place your bag, including pencil and glasses cases, wallets, hats, tissue packaging at the front of the room.
10. Only pens, pencils, erasers, ID card, single tissues and a bottle of water/juice are permitted on your desk.
11. This examination is closed book, open book, restricted. (Exam Supervisors advise students of the specific rules in relation to the specific exam. These should be on the examination cover sheet and supplied to the Exam Supervisor.)
12. Dictionaries and calculators are not permitted unless specified.
13. You may not share any items or talk to any other student.
14. If you require assistance stay in your seat and put up your hand.
15. Rough notes are to be written in the back of the answer booklet, no extra paper is permitted for notes.
16. If more paper is needed to write an answer please put up your hand.
17. Write your answers in English and ink, not pencil. You must have prior approval to write in Māori.
18. Do not start the examination during reading time or before being advised of the official start time by the Exam Supervisor.

19. The examination time used will be noted on the whiteboard and crossed off every 15 minutes. Close to the completion of the examination time you will receive a 15 minute and then 5 minute warning.
20. You will not be permitted to leave in the first 30 minutes unless for unexpected reasons such as illness or needing to go to the toilet.
21. You will not be permitted to leave the room in the last 15 minutes.
22. Pens must be put down as soon as the Exam Supervisor announces stop.
23. All examination papers, answer booklets and answer sheets must be handed in to the Exam Supervisor before leaving the room.
24. The time is now... (according to the examination room clock), you may begin the reading time, pens down.
25. The time is now... you may begin writing the examination.



### 11.3 Appendix 3, Student Identification Declaration Form

(Insert faculty logo here)	<b>STUDENT IDENTIFICATION DECLARATION FORM</b> <i>Please use this form when verifying student identity</i>
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#### Student Details

<b>Family Name</b>		<b>Student ID</b>	
<b>First Name</b>			
<b>Paper Code and Name</b>			
<b>Exam Date</b>		<b>Exam Time</b>	

#### Student Declaration

I, \_\_\_\_\_ hereby state that I will present myself to the faculty/school/department office within 24 hours (1 day) of completion of my exam, with my AUT student ID or photo ID, to verify my exam script in the above paper. I understand that if I fail to comply with these conditions, my exam script will not be marked.

**Signature**

**Date:**

\_\_\_\_\_

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#### For Office Use Only

Paper Code	Paper Name	New Exam Date	Start Time	Room
Student notified	Email / Home phone / Mobile (circle)	Date		
Contacted by		Signature	Date	

---

Academic Procedure No:

Prepared by:

Created:

Updated:

Academic Quality Office

10 May 2012

26 September 2016

## 11.4 Appendix 4, Exam Supervisor Report Form

(Insert faculty logo here)	<b>EXAM SUPERVISOR REPORT FORM</b>  <b>REPORT ON EXAMINATION</b>
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<b>Paper name</b>		<b>Paper code</b>	
<b>Exam date</b>		<b>Exam time</b>	
<b>Exam Supervisor</b>		<b>Exam room</b>	

Use this form to report on the coordination of the examination. For specific cases of suspected misconduct, comment only briefly on this form and complete an Academic Dishonesty in Examination Form for each student/incident.

<b>Identification irregularities?</b> Record student details and action taken.	<input type="checkbox"/> Y <input type="checkbox"/> N
<b>Student incidents?</b> Record incidents here. Complete the Report on Academic Dishonesty During an Examination Form for each student involved in the incident (copying, inappropriate communication, unauthorised material).	<input type="checkbox"/> Y <input type="checkbox"/> N
<b>Any identified material irregularities with the examination?</b>	<input type="checkbox"/> Y <input type="checkbox"/> N
<b>Student illness?</b>	<input type="checkbox"/> Y <input type="checkbox"/> N

Exceptional disturbances?	<input type="checkbox"/> Y <input type="checkbox"/> N

**Events to report include the following:**

- Any cases of student illness
- Any noise or disturbance outside the room that the Exam Supervisor considers may have affected the students' performance
- An emergency evacuation of the examination room
- Any inconsistencies or issues raised by a student
- Any other exceptional occurrence which, in the judgement of the Exam Supervisor, needs to be brought to the attention of the exam co-ordinator.

Any cases of academic dishonesty (cheating) or suspected academic dishonesty should be reported in detail on the separate Report on Academic Dishonesty in an Examination Form including cases where the student has left the room due to academic dishonesty.

## 11.5 Appendix 5, Report on Academic Dishonesty

(Insert faculty logo here)	<b>REPORT ON ACADEMIC DISHONESTY DURING AN EXAMINATION</b>
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<b>Student Surname</b>	
<b>Student First Name</b>	
<b>Coordinator Name</b>	

<b>Student ID</b>	
-------------------	--

<b>Paper</b>	
<b>Exam Date</b>	
<b>Exam Room</b>	

<b>Paper Code</b>	
<b>Exam Time</b>	

### 1. COPYING FROM ANOTHER OR INAPPROPRIATE COMMUNICATION

PLEASE COMPLETE – giving as much detail as possible.

What type of misconduct did you see?	<input type="checkbox"/> Copying from another student <input type="checkbox"/> Inappropriate communication <input type="checkbox"/> Other _____
Did the student continue with exam?	<input type="checkbox"/> Y <span style="margin-left: 100px;"><input type="checkbox"/> N</span>

### 2. UNAUTHORISED MATERIAL

PLEASE COMPLETE – giving as much detail as possible

What type of unauthorised material did you see?	<input type="checkbox"/> Notes on person <input type="checkbox"/> Writing in books/on person* <input type="checkbox"/> Other _____ <i>*if writing on person or books please get Floater to witness and sign.</i> Name: _____ Sign: _____
What time did you first notice something?	
What were your actions?	
Did you remove any items from the student, if so what?	
What time did you remove them?	
Did the student continue with exam?	<input type="checkbox"/> Y <span style="margin-left: 100px;"><input type="checkbox"/> N</span>