

## Stockbrokers and Financial Advisers Association (SAFAA)

### Supervisor Guidelines Ver9

***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
- Stockbrokers Professional Program 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 an examination is booked.

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>Stockbrokers Professional Program online examinations</b>
A Responsible Manager Compliance Officer Senior DTR Operator	A Compliance Officer, the HR Manager or Training Manager at the candidate's place of work	A Compliance Officer, the HR Manager or Training Manager at the candidate's place of work
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 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 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 will access the online examination by emailing the exam booking form to SAFAA.

1. Candidates complete the Exam Booking Form (located at the end of this handbook) and email it to [saccreditation@stockbrokers.org.au](mailto:saccreditation@stockbrokers.org.au) at least two (2) business days prior to the day they wish to sit their exam.
2. About 15 minutes before the nominated exam start time the candidate and their exam supervisor make their way to the exam location and complete formalities, such as identification checks and equipment checks.
3. At the nominated exam start time Candidates log in to their exam via the link provided by SAFAA. The Exam Supervisor must remain in the room and physically oversee the conduct of the exam.
4. On opening the link the candidate will be prompted to accept a declaration and 15 minutes reading time commences prior to the examination commencing
5. Once the candidate has completed all questions, or the allocated time is about to run out, the online exam is submitted by the candidate.
6. SAFAA will unrelease the exam at the conclusion of the allocated time.
7. The exam supervisor must complete the Declaration confirming all exam conditions were adhered to and return this to SAFAA email [accreditation@stockbrokers.org.au](mailto:accreditation@stockbrokers.org.au) as soon as possible after the completion of the exam.
8. The candidate will receive their result via email within one (1) business day of submitting their exam, and once Declaration has been returned.

## **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) throughout the 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 current web browser, for example Google Chrome, Internet Explorer
- 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 (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 – they should note concerns and contact WSU RTO or SAFAA. 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 SAFAA via email to [accreditation@stockbrokers.org.au](mailto:accreditation@stockbrokers.org.au)

### **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 [accreditation@stockbrokers.org.au](mailto:accreditation@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.

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CONTACT:

**Stockbrokers and Financial Advisers Association**

Tel: (61) 2 8080 3200

Email: [accreditation@stockbrokers.org.au](mailto:accreditation@stockbrokers.org.au)

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**SAFAA Application to be an Online Examination Supervisor**

Please return completed form to [accreditation@stockbrokers.org.au](mailto:accreditation@stockbrokers.org.au)

I would like to apply for a role as a Stockbrokers and Financial Advisers Association Online Examination Supervisor (please circle)

National DTR Accreditations\*      Responsible Executive Exams\*      Accreditation Programs

**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 in my role as an Online Exam Supervisor as described in these Guidelines.

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

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

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

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



### **Role of Online Exam Supervisor**

It is the responsibility of the online exam supervisor (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 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. 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.
- Supervisors are in charge of the examination room and should observe the candidate(s) throughout the examination.
- 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
  - Supervisors should check any programmable memory is cleared on calculators and confiscate unauthorised calculators.
- 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

- Supervisors must not answer queries by candidates concerning possible inaccuracies or ambiguities, but should note concern/s and contact SAFAA. 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:
  - Typographical error or mistake within the examination.
  - 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.
- 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.
- Candidates are not allowed to bring mobile phones or text references into the examination room for closed book examinations.
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- No web browsing is allowed or access to other courseware by electronic or other means.
- 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 SAFAA via email [accreditation@stockbrokers.org.au](mailto:accreditation@stockbrokers.org.au).
- 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**

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**SAFAA Online Examination Booking**

Please return completed form to [accreditation@stockbrokers.org.au](mailto:accreditation@stockbrokers.org.au) at least 3 business days prior to your nominated examination date.

**Please note: online examinations will only open in Chrome, Firefox and Opera browsers.**

Exam name: \_\_\_\_\_

Candidate name: \_\_\_\_\_

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

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

Daytime Telephone: \_\_\_\_\_

I wish to sit my exam on: *(day and date)* \_\_\_\_\_ at *(time)* \_\_\_\_\_

The person supervising my exam is: \_\_\_\_\_

Exam results will be released within 1 business day after the Declaration by Online Examination Supervisor is returned.

**PLEASE NOTE: Technical support will not be available for exams scheduled outside office hours: Monday to Friday, 8.30am to 5.30pm Sydney time.**

**SAFAA Declaration by Online Examination Supervisor**

Please return the completed form to [accreditation@stockbrokers.org.au](mailto:accreditation@stockbrokers.org.au)

I, \_\_\_\_\_ (supervisor's name)

confirm that I supervised the \_\_\_\_\_ (examination name)

for \_\_\_\_\_ (candidate name) \_\_\_\_\_ (candidate ID)

to undertake an exam in the Stockbrokers and Financial Advisers Association Accreditation Program.

I have read the requirements for an exam supervisor and understood them. All exam conditions listed below were strictly adhered to during the period of the exam: (please tick in the boxes to confirm)

- Candidate Materials:** Only pen and blank paper was used by the candidate once reading time finished and the exam commenced.

*Note: 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):** The student used a non-programmable/non text retrievable, hand held calculator as per the list of approved models below:
- Texas Instruments Ball Plus
  - Hewlett Packard 10B, 10BII, 12C
  - Sharp EL-733, EL-733A, EL-735.
- Verification of Identity:** I personally verified the identity of the candidate sitting online examination/I sighted Photographic Identification (cross out whichever is not applicable)
- Unauthorised Materials:** The student did not access any unauthorised materials during the exam
- Candidate Queries:** I did not assist the candidate with the examination materials or questions in any way
- Close Supervision Required:** I provided close supervision for the entire period of the exam and did not detect any misconduct on the part of the student

Supervisors Signature: \_\_\_\_\_ Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Supervisors Name: \_\_\_\_\_



**SAFAA Online Examination Incident Report**

*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.*

[accreditation@stockbrokers.org.au](mailto:accreditation@stockbrokers.org.au)

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

National DTR Accreditation

Responsible Executive

Professional Program

Exam name: \_\_\_\_\_

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

Candidate First Name: \_\_\_\_\_

Candidate Last Name: \_\_\_\_\_

Candidate's Signature: \_\_\_\_\_

Exam day/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

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**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.

Supervisors Full Name: \_\_\_\_\_

Supervisors Signature: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

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