

Malpractice & Maladministration Policy

Policy Author: Head of Quality

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OUR VISION

**To be an
exceptional college**

OUR MISSION

**Empowering futures,
transforming lives**

OUR CULTURE AND VALUES

Barking & Dagenham College is a unique, diverse and inclusive environment in which everyone is supported to grow, develop and really flourish.

We treat each student as an individual because we know that everyone is different. Every individual has their own unique talents, circumstances, challenges and aspirations. Every student brings something special and it is this diversity and richness of ideas that makes College life interesting, fun and vibrant. Our culture is such that all students, staff and visitors should feel welcome, safe and valued. Guided by our principles of honesty, integrity and transparency, we treat each other respectfully and seek to establish trust. By building resilience and confidence, we encourage students and staff to rise above challenges with determination and a positive mindset.

Whilst we are rightly proud of our unique internal culture, Barking & Dagenham College is an outward facing organisation that recognises the critical importance of working through networks and collaboration to lead change and influence local agendas. By partnering with industry-leading employers and embracing innovation, digital technologies and new ways of thinking, we strive to push the boundaries of learning and ensure that our students are ahead of the curve. Our many stakeholder partnerships mean that we have established our place at the heart of our community and as a key partner in the regeneration of the London Borough of Barking and Dagenham.

At Barking & Dagenham College, we are dedicated to inspiring students and staff to embrace challenges and pursue their dreams with confidence. Most of all, we are ambitious and we expect excellence - from ourselves and from our students.

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1 Introduction / Context

It is important that all staff involved in the management, assessment and quality assurance of our qualifications, and learners, are fully aware of the contents of the policy and know of arrangements that are in place to prevent and investigate suspected or actual instances of malpractice and maladministration.

Learners and staff are informed and advised to avoid committing malpractice in examinations and assessments both through the induction process and prior to any external examination or assessment being undertaken. The message is also reiterated throughout the learning journey, and the exams department send out further guidance prior to any assessment taking place.

2 Principles / Purpose

The purpose of the policy is to minimise any risks to the integrity of certification; maintain public confidence in the delivery and awarding of qualifications; and to discourage others from carrying out instances of malpractice or maladministration

3 Scope

This document reflects best practice outlined in the source guidance published by the Joint Council for Qualifications (JCQ) in the Suspected Malpractice in Examinations and Assessments: Policies and Procedures.

The principles and practice contained in this document aim to fully satisfy requirements incorporated in Awarding Body expected standards of behaviour.

This document defines malpractice in the context of both internal and external assessment, outlines the rights and responsibilities of learners and staff in relation to malpractice and maladministration, and sets out the procedures to be followed where there is reason to suspect that regulations have been contravened.

4 Malpractice and Maladministration Definitions

Malpractice is defined as 'any activity, action, practice or omission which is either willfully negligent or deliberately contravenes regulations and requirements and compromises the integrity of internal or external assessment process, the validity of results and/or certificates and the reputation of the organisation or awarding body.

- 4.1** Malpractice may include a range of issues, from the deliberate failure to maintain appropriate records or systems to the deliberate falsification of records. In this policy, this term also covers misconduct and forms of unnecessary discrimination or bias towards certain groups of learners.
- 4.2** Maladministration is any activity, neglect, default or other practice that results in the organisation or learner not complying with administrative regulations or requirements and includes persistent mistakes or poor administration within the Centre. Recurrent maladministration constitutes malpractice and will be treated as such.
- 4.3** The JCQ member awarding organisations divide malpractice into the following types (see two examples for each type in Appendix 3)
 - Breach of security
 - Deception
 - Improper assistance to candidates
 - Failure to co-operate with an investigation
 - Maladministration
 - Candidate malpractice

5 Examples of Malpractice and Maladministration

5.1 Learner Malpractice

Learner malpractice means malpractice by a learner during any examination or assessment.

Learner malpractice may also be referred to as Academic Misconduct. BDC is committed to the highest standards of academic integrity within our community.

Examples of learner malpractice are:

- the alteration or falsification of any results document, including certificates.
- failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments.
- collusion: working collaboratively with other candidates, beyond what is permitted.
- copying from another candidate (including the use of ICT to aid the copying).
- Use of unauthorised materials during written or online assessment
- disruptive behaviour in the examination room or during an assessment session (including the use of offensive language).
- making a false declaration of authenticity in relation to the authorship of controlled assessments, coursework, or the contents of a portfolio.
- the misuse, or the attempted misuse, of examination and assessment materials and resources (e.g., exemplar materials).
- the inclusion of inappropriate, offensive, or obscene material in scripts, controlled assessments, coursework, or portfolios.
- Plagiarism

In addition, please see appendix 4 for examples listed by JCQ.

AI

Misusing artificial intelligence (AI) in assessments, such as using AI to cheat, falsify work, or unfairly influence results, is considered malpractice. This includes submitting AI-generated work as your own or using unapproved AI tools to affect grading. Such actions undermine the fairness and reliability of assessments. Clear guidelines must be followed to ensure that AI tools are used responsibly and transparently, with appropriate safeguards in place to prevent malpractice and maladministration. Please refer to the AI Policy for further guidance.

5.2 Centre Staff Malpractice

Centre Staff Malpractice' means malpractice committed by a member of staff or contractor (whether employed under a contract of employment or a contract for services) at the College, or an individual appointed in another capacity by the College such as an invigilator, a learning support assistant, a prompter, a reader, a sign language interpreter, or a scribe to a candidate.

Summative assessment papers, both blank and complete, are the property of the College and must be treated as confidential at all times. Staff must not remove these materials from College premises for any purpose.

Assessment papers must be securely stored on site in approved locations. They may only leave site when being transported between College locations by the Exams Team or Estates staff, using sealed, tamper-evident packaging and appropriate logging procedures.

Any breach of this policy may result in disciplinary action

Examples of Centre staff malpractice are:

- Tampering with candidates' scripts or coursework after collection and before despatch to the awarding body
- Breach of security

- Assisting candidates in the production of coursework
- Assisting candidates in the production of answers
- Destruction of portfolio/student work
- Fabricating assessment and/or internal verification records or authentication statements
- Poor invigilation practice that contravenes College and JCQ regulations
- Failing to conduct a proper investigation into suspected malpractice
- Disclosure of confidential examination material
- Failure to ensure that Artificial Intelligence is not the sole means of marking candidates' work

In addition, please see appendix 3

5.3 Maladministration

The following list provides examples of Centre and learner maladministration. This list is not exhaustive and is intended as guidance on the Centre's definition of maladministration.

- Failure to adhere to the Centre's learner registration and certification procedures
- Failure to adhere to Centre agreement and/or qualification requirements and/or associated actions assigned to the Centre by awarding bodies;
- Late registration of learners;
- Accidental loss of portfolios/learner work
- Unreasonable delays in responding to requests and/or communications;
- Inaccurate claim for certificates;
- Failure to maintain appropriate auditable records, e.g. certification claims;
- Misuse of Examination Board logos
- Failure to adhere to the requirements of the Centre's Reasonable Adjustments and Special Considerations Policy;
- Failure to adhere to Centre policies, procedures and practices;
- Failure to adhere to Centre financial payment terms and/or plans (whether infrequent or persistent).

In addition, please see appendix 3.

6 Investigation (See Appendix 1 and 2)

- 6.1** The College must conduct a full investigation into instances of alleged or suspected malpractice, and must take such action, with respect to the learners or staff concerned, as is necessary to maintain the integrity of the qualification.

The fundamental principle of investigations is to conduct them in a fair, reasonable, and legal manner, ensuring that all relevant evidence is considered without bias.

- 6.2** Investigations into alleged or suspected malpractice and academic misconduct within higher level programmes will reflect collaborative partners' regulations
- 6.3** Investigations into allegations of learner malpractice will be carried out by the Exams Manager or Head of Quality Investigations into allegations of Centre staff malpractice will be carried out by either of the above with the support of a member of the Senior Leadership Team. The investigation must be completed within 15 working days.
- 6.4** Those responsible for conducting the investigation should establish the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true.

- 6.5** When the investigator deems it necessary to interview a candidate or member of staff in connection with an alleged malpractice, the interviews must be conducted in accordance with the College's own policies for conducting disciplinary enquiries.
- 6.6** Awarding organisations must be notified of suspected malpractice within 24 hours. This is the responsibility of the Exams Manager or Head of Quality.
- 6.7** In instances where an allegation of staff malpractice is upheld, this will be referred to HR who will conduct disciplinary action in line with the HR College Disciplinary Procedure.
- 6.8** Investigations and subsequent recommendations must be based on established evidence. A course of proposed action should be identified, agreed, implemented, and monitored.

7 Confidentiality

Most investigations will necessitate accessing material that is deemed confidential to the individual or organisation providing it. In many instances, it will be important that the evidence or information is original. If original records cannot be retained, it may be necessary to photocopy the original and record the copy as authentic. All material collected as part of an investigation must be kept secure and not normally disclosed to a third party.

8 Retention

It is recommended that all records and original documentation concerning a completed investigation that leads to sanctions against the Centre be retained for a period of not less than five years. If an investigation leads to invalidation of certificates, or criminal or civil prosecution, all records and original documentation relating to the case must be retained until the case and any appeals have been heard and for five years thereafter.

The College will provide secure storage for all material associated with an investigation in case of subsequent legal challenges. Integrity and continuity of evidence should be maintained.

9 Investigation Report

- 9.1** After investigating any complaint or allegation of malpractice a full written report of the case must be submitted to the relevant awarding body within 10 working days of completion of the investigation.
- 9.2** The report should be accompanied by the following documentation, as appropriate:
- a statement of the facts with a detailed account of the circumstances of the alleged malpractice, and details of any investigations carried out by the Centre
 - Written statement(s) from the invigilator(s), assessor, internal verifier(s) or other staff who are involved.
 - Written statement(s) from the candidate(s). If required, individual arrangements will be made for candidates with additional needs to help them produce these statements
 - Any mitigating factors.
 - Information about the Centre's procedures for advising candidates of the awarding bodies' regulations.
 - Seating plans and invigilation records.
 - Details of any unauthorised material found in the examination room.
 - Any work of the candidate and any associated material (e.g., source material for coursework) which is relevant to the investigation.

Form JCQ/M1 (suspected candidate malpractice) or Form JCQ/M2A (Suspected malpractice/maladministration involving Centre staff) from the Joint Council for Qualifications should be used as the basis of the report. Reports in letter format will be accepted providing the information given covers the same points as the form.

Details and outcomes of all formal investigations will also be reported to the College Senior Leadership Team.

10 Sanctions (See Appendix 5)

In response to the report, sanctions may be imposed by awarding bodies against the student (in the case of student malpractice) or the College (in the case of Centre staff malpractice). These will be commensurate with the level of non-compliance identified. In cases of malpractice, internal interventions will be put in place and the individual(s) may be sanctioned in line with the college disciplinary procedure.

11 Appeals

The awarding bodies have established procedures for considering appeals against penalties arising from malpractice decisions. Individuals have a right to appeal against decisions. These are to be conducted in accordance with the College's own policies for conducting appeals.

12 Review

This policy will be periodically monitored in light of legislative, regulatory, codifiable of necessary changes, and in any event formally reviewed, and revised if necessary, on an annual basis in July/August.

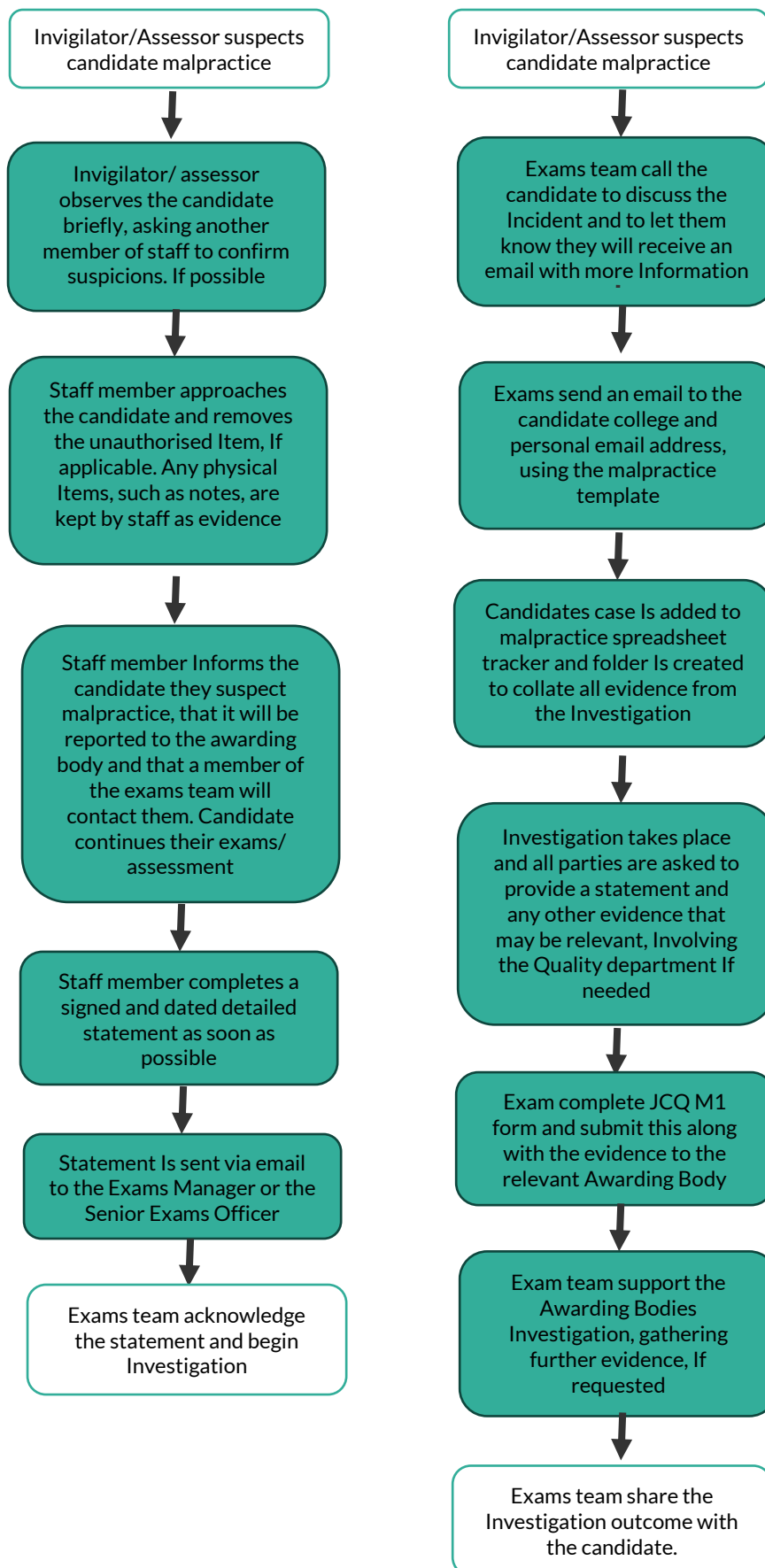
13 Linked Policies

In reading this policy reference should be made to associated policies available on College InfoPoint, including:

- Internal Quality Assurance of Assessment
- Equality, Diversity and Inclusion
- GDPR
- Plagiarism
- Academic Appeals
- Disciplinary Procedure
- AI Policy

Appendix 1: BDC Approach to Suspected Candidate Malpractice

Suspected Candidate Malpractice Flowchart

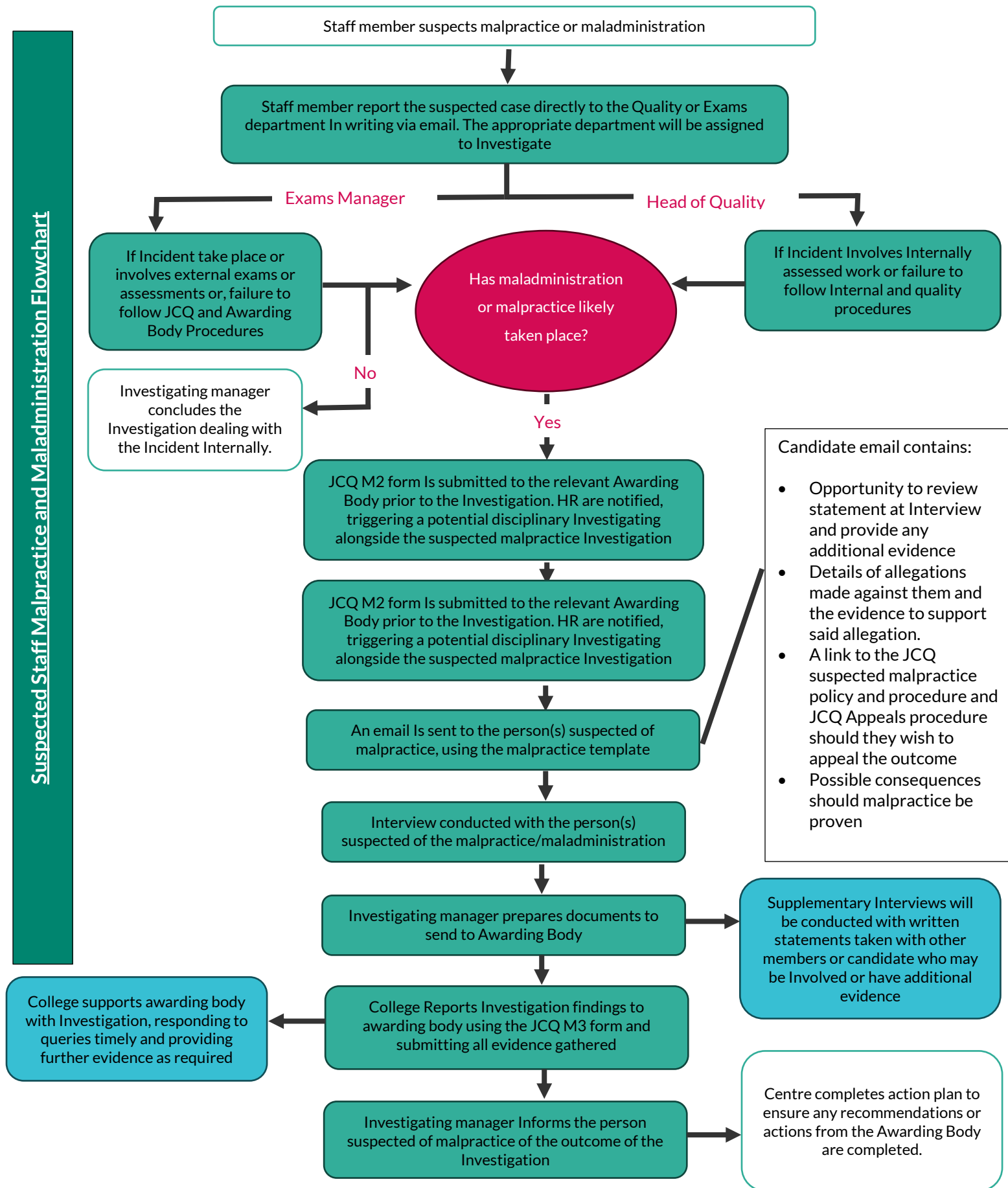


Candidate email contains:

- Opportunity to provide a statement and a reasonable deadline for when this must be with the exams team
- Details of allegations made against them and the evidence to support said allegation.
- A link to the JCQ suspected malpractice policy and procedure and JCQ Appeals procedure should they wish to appeal the outcome
- Possible consequences should malpractice be proven

Appendix 2: BDC Approach to Suspected Staff Malpractice and Maladministration

Suspected Staff Malpractice and Maladministration Flowchart



Appendix 3: Exams of Centre Staff Malpractice

The following are examples of malpractice. **This is no an exhaustive list** and as such does not limit the scope of the definitions set out earlier in this document. Other instances of malpractice may be identified and considered by the awarding bodies at their discretion. **Where systemic, the centre staff malpractice exams below constitute centre malpractice.**

Part 1: Centre Staff Malpractice

1. Breach of security

Any act which breaks the confidentiality of question papers or materials, and their electronic equivalents, or the confidentiality of candidates' scripts or their electronic equivalents.

It could involve:

- failing to keep examination material secure prior to an examination, including digital examination materials;
- discussing or otherwise revealing information about examinations and assessments that should be kept confidential, e.g. internet forums/social media;
- moving the time or date of a fixed examination beyond the arrangements permitted within the JCQ document Instructions for conducting examinations. Conducting an examination before the published date constitutes centre staff malpractice and is a clear breach of security;
- failing to adequately supervise candidates who have been affected by a timetable variation (this would apply to candidates subject to overnight supervision by centre personnel or where an examination is to be sat in an earlier or later session on the scheduled day);
- releasing candidates early from a timetabled assessment (e.g. before 10 a.m. for a morning session examination);
- permitting, facilitating or obtaining unauthorised access to examination material prior to an examination;
- failing to retain and secure examination question papers after an examination in cases where the life of the paper extends beyond the particular session, e.g. where an examination is to be sat in a later session due to a timetable variation;
- tampering with candidate scripts, controlled assessments, coursework or non-examination assessments after collection and before despatch to the awarding body/examiner/moderator (this would include reading candidates' scripts or photocopying candidates' scripts prior to despatch to the awarding body/examiner);
- failing to keep secure computer files which contain candidates'-controlled assessments, coursework or non-examination assessments.

2. Deception

Any act of dishonesty in relation to an examination or assessment including, but not limited to:

- inventing or changing marks for internally-assessed components (e.g. non-examination assessments) where there is no actual evidence of the candidates' achievement to justify the marks awarded;
- manufacturing evidence of competence against national standards;
- fabricating assessment and/or internal verification records or authentication statements;
- entering fictitious candidates for examinations or assessments, or otherwise subverting the assessment or certification process with the intention of financial gain (fraud);
- substituting one candidate's-controlled assessment, coursework or non-examination assessment for another's;
- providing misleading or inaccurate information to an awarding body, candidates and/or parents.

3. Improper assistance to candidates

Any act where assistance is given beyond that permitted by the specification or regulations to a candidate or group of candidates which results in a potential or actual advantage in an examination or assessment.

For example:

- assisting candidates in the production of controlled assessment, coursework, non-examination assessments or portfolios beyond that permitted by the regulations;
- sharing or lending candidates' controlled assessments, coursework or non-examination assessments with other candidates in a way which allows malpractice to take place;
- assisting or prompting candidates with the production of answers;
- permitting candidates in an examination to access prohibited materials (dictionaries, calculators etc.);
- prompting candidates in an examination/assessment by means of signs or verbal or written prompts;
- assisting candidates granted the use of a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe beyond that permitted by the regulations.

4. Failure to co-operate with an Investigation

For example:

- failure to make available information reasonably requested by an awarding body in the course of an investigation or in the course of deciding whether an investigation is necessary; and/or
- failure to investigate on request, in accordance with the awarding body's instructions or advice; and/or
- failure to investigate or provide information according to agreed deadlines; and/or
- failure to immediately report all alleged, suspected or actual incidents of malpractice to the awarding body.

5. Maladministration

Failure to adhere to the regulations regarding the conduct of controlled assessments, coursework, examinations and non-examination assessments, or malpractice in the conduct of examinations/assessments and/or the handling of examination question papers, candidate scripts, mark sheets, cumulative assessment records, results and/or certificate claim forms, etc.

For example:

- failing to ensure that candidates' controlled assessment, coursework, non-examination assessment or work to be completed under controlled conditions is adequately completed and/or monitored and/or supervised
- failure, on the part of the head of centre, to adhere to awarding body specification requirements in the delivery of non-examination assessments, Endorsements and other projects required as part of a qualification. These include the GCSE Computer Science Programming Project, GCSE English Language Spoken Language Endorsement and/or the GCE A level Biology, Chemistry, Geology and Physics Practical Skills Endorsement
- failing to adhere to awarding body key dates and deadlines relating to the delivery of examinations and assessments (such as those relating to the return of scripts, reporting of internal assessment marks/grades, making entries/claims, and Head of Centre Declarations);
- inappropriate members of staff assessing candidates for access arrangements who do not meet the criteria detailed within Chapter 7 of the JCQ document Access Arrangements and Reasonable Adjustments
- failure to use the correct tasks/assignments for assessments
- failing to ensure that artificial intelligence is not the sole means of marking candidates' work
- failure to train invigilators and those facilitating access arrangements adequately, e.g. readers and scribes, leading to non-compliance with the JCQ documents

- failing to issue to candidates the appropriate notices and warnings, e.g. JCQ Information for candidate's documents;
- failure to inform the JCQ Centre Inspection Service of alternative sites for examinations;
- failing to post notices relating to the examination or assessment outside all rooms (including Music and Art rooms) where examinations and assessments are held;
- not ensuring that the examination venue conforms to the requirements stipulated in the JCQ document Instructions for conducting examinations;
- failing to prevent the introduction of unauthorised material into the examination room, either prior to or during the examination (NB this precludes the use of the examination room to coach candidates or give subject-specific presentations, including PowerPoint presentations, prior to the start of the examination);
- failing to remind candidates that any mobile phones or other unauthorised items found in their possession must be handed to the invigilator prior to the examination starting;
- failure to invigilate examinations in accordance with the JCQ document Instructions for conducting examinations;
- failure to have on file for inspection purposes accurate records relating to overnight supervision arrangements;
- failure to have in place a malpractice policy;
- failure to have on file for inspection purposes appropriate evidence, as per the JCQ document Access Arrangements and Reasonable Adjustments, to substantiate approved access arrangements processed electronically using the Access arrangements online system;
- granting access arrangements to candidates who do not meet the requirements of the JCQ document Access Arrangements and Reasonable Adjustments;
- granting access arrangements to candidates where prior approval has not been obtained from the Access arrangements online system or, in the case of a more complex arrangement, from an awarding body;
- failure to provide the correct access arrangements to candidates where approval has been granted
- failure to supervise effectively the printing of computer-based assignments when this is required;
- failing to retain candidates'-controlled assessments, coursework or non-examination assessments securely after the authentication statements have been signed or the work has been marked;
- failing to maintain the security of candidate scripts prior to despatch to the awarding body or examiner;
- failing to despatch candidates' scripts, controlled assessments, coursework or non-examination assessments to the awarding bodies, examiners or moderators in a timely way;
- failing to notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice;
- failing to conduct a thorough investigation into suspected examination or assessment malpractice when asked to do so by an awarding body;
- breaching the published arrangements for the release of examination results;
- inappropriate retention or destruction of certificates;
- failing to recruit learners with integrity, including the recruitment of learners who have not met the qualification's minimum entry requirements wherever stipulated and/or the recruitment of learners who are unable or otherwise unlikely to complete the qualification;
- failing to ensure that, where candidates are producing work for assessments which are not completed under examination conditions, teaching staff check that the assessment tasks being completed and the approach candidates are taking are appropriate, giving due consideration to ethical standards and the centre's safeguarding responsibilities.

Appendix 4: Examples of candidate Malpractice

Part 2: Candidate Malpractice.

For Example:

- the alteration or falsification of any results document, including certificates;
- a breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination or assessment rules and regulations;
- the unauthorised use of alternative electronic devices or technology during remote assessment and remote invigilated;
- accessing the internet, online materials or AI tools during remote assessment and remote invigilation, where this is not permitted;
- failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
- collusion: working collaboratively with others, beyond what is permitted;
- copying from another candidate (including the use of technology to aid the copying);
- allowing work to be copied, e.g. posting work on social networking sites prior to an examination/assessment;
- the deliberate destruction of another candidate's work;
- disruptive behaviour in the examination room or during an assessment session (including the use of offensive language);
- failing to report to the centre or awarding body the candidate having unauthorised access to assessment related information or sharing unauthorised assessment related information online;
- exchanging, obtaining, receiving, passing on information (or the attempt to) which could be assessment related by means of talking or electronic, written or non-verbal communication;
- making a false declaration of authenticity in relation to the authorship of controlled assessment, coursework, non-examination assessment or the contents of a portfolio;
- allowing others to assist in the production of controlled assessments, coursework, non-examination assessments, examination responses or assisting others in the production of controlled assessments, coursework, non-examination assessments or examination responses;
- the misuse, or the attempted misuse, of examination and assessment materials and resources (e.g. exemplar materials);
- being in possession of unauthorised confidential information about an examination or assessment;
- bringing into the examination room notes in the wrong format (where notes are permitted in examinations) or inappropriately annotated texts (in open book examinations);
- the inclusion of offensive comments, obscenities or drawings; discriminatory language, remarks or drawings directed at an individual or group in scripts, controlled assessments, coursework, non-examination assessments or portfolios;
- personation: pretending to be someone else for fraudulent purposes; arranging for another person to take one's place in an examination or an assessment;
- plagiarism: unacknowledged copying from, or reproduction of, third party sources or incomplete referencing (including the internet and artificial intelligence (AI) tools);
- theft of another candidates work;
- being in possession (whether used or not) of unauthorised material during an examination or assessment, such as notes, study guides and personal organisers, own blank paper, calculators (when prohibited), dictionaries (when prohibited), watches, instruments which can capture a digital image, electronic dictionaries (when prohibited), translators, wordlists, glossaries, iPods, mobile phones, AirPods, smart glasses, smart devices, MP3/4 players, pagers, or other similar electronic devices;
- the unauthorised use of a memory stick or similar device where a candidate uses a word processor;
- facilitating malpractice on the part of other candidates;
- behaving in a manner so as to undermine the integrity of the examination.

Appendix 5: Indicative Sanctions against centres, staff and candidates

This table is for guidance and sanctions can be flexibly applied according to the details of each individual case.

<u>Proposed Sanction</u>	<u>Broad reason for the sanction</u>
Written Warning	Minor non-compliance with the regulations or maladministration with no direct or immediate threat to the integrity of an examination assessment.
Review & Report (Action Plans)	Breach of procedures or regulations which, if left unchecked, could result in a threat to the examination or assessment.
Approval of specific assessment tasks	Failure of procedures or regulations in a specific subject or sector area relating to the nature of the assessment or task chosen.
Additional monitoring or inspection	Failure of the centre's systems resulting in poor management of the examination or assessment or inadequate invigilation.
Removal of direct claim status	Loss of confidence in the ability of the centre to assess and verify candidates' portfolios satisfactorily
Restrictions of examinations or assessment materials	Failure to maintain the security of examinations or assessment materials
The deployment of independent invigilators	Loss of confidence in the centre's ability to invigilate examinations.
Suspension of candidate registrations	Threat to the interest of candidates registered on the qualification
Suspension of certification	Loss of the integrity of assessment decisions; danger if invalid claims for certification.
Withdrawal of approval for specific qualification(s)	Repeated breach of the regulations relating to a specific qualification. Alternatively, a breakdown in management and quality assurance arrangements for specific qualification or sector/subject area.
Withdrawal of centre recognition	Loss of confidence in the head of centre or senior management of the centre. Breakdown in management and quality assurance arrangements for some or all accredited qualifications offered by the centre. Failure to co-operate with awarding body requests to thoroughly investigate suspected malpractice. Failure to implement a specified action plan.

Type of offence	Warning	Training	Special conditions	Suspension
Improper assistance	Minor assistance, no significant impact, e.g. where not allowed, headings or a basic table template; small amounts of simple/generic feedback; sharing exemplars without careful control (where individual is untrained/inexperienced).	Limited help, minimal impact, misunderstanding rules or lack of experience, e.g. new reader clarifies questions; non-specialist gives 'how to' guide in non-examination assessment (NEA) against regulations.	Limited help and impact, e.g. staff member gives general 'how to' guide, giving exemplars with no control and/or feedback beyond regulations in presence of mitigating factors; e.g. in NEA following recent specification change where allowed in previous specification.	Significant impact; impairment to validity of assessments, e.g. feedback beyond regulations, giving exemplars for copying, provision of answers.
Maladministration	Repeated use of out of date or wrong tasks texts; minor errors in following assessment regulations with minimal impact on candidates, e.g. granting legitimate access arrangements when approval not given; minor ethical and/or safeguarding concerns with assessment content produced by candidates, due to poor supervision.	Errors in following assessment regulations by inexperienced/insufficiently-trained staff, e.g. new invigilator failing to manage timings correctly; scribe reading questions. A failure to ensure that assessments are being completed and supervised appropriately due to inexperience/lack of training, where the content gives rise to ethical and/or safeguarding concerns.	Errors in following assessment regulations by experienced members of staff but with limited impact affecting a limited number of candidates, e.g. granting access arrangements to ineligible candidates to limited effect which is not systematic in scope; failure to invigilate clash candidates adequately to limited impact. A failure to identify and act on candidate assessments where the content gives rise to ethical and/or safeguarding concerns.	Errors in following assessment regulations that compromise integrity of assessment or submissions; or breach of regulations that impacts results; or systemic, repeated or continuing non-compliance with JCQ regulations; failure to provide training for invigilators, and/or those facilitating access arrangements. A failure to take appropriate action when there is an awareness that the content of candidate assessments could give grounds for serious ethical and/or safeguarding concerns.
Deception	This box is intended to be blank.	This box is intended to be blank.	This box is intended to be blank.	Falsifying candidates' work or submissions; systemic non-compliance with JCQ regulations; falsifying marks; entering fictitious and/or ineligible candidates for exams; fabricating evidence for access arrangements.
Security breach	Failure to give due care and attention to security (including electronic security) of assessment materials not resulting in a security breach, e.g. materials left outside of secure store but no breach to seals on question paper packets. Risk presented to integrity of exam but no evidence of breach; failure to store papers appropriately but with no impact beyond increased risk; failure to audit or review account access or account inactivity.	Risk presented to integrity of exam with evidence of failure to understand regulations designed to protect exam integrity, e.g. incorrect papers removed from secure store, no second pair of eyes check; sharing Multi Factor Authentication device(s)/details but content of papers not divulged to any unauthorised third party.	Inadvertent/accidental failure to follow security regulations or action that has the potential to breach examination security, e.g. giving candidates the wrong paper but breach contained to candidates within centre; failure to follow requirements in section 4 of JCQ ICE which inadvertently facilitates unauthorised access to secure electronic materials.	Abuse of legitimate access to confidential material, e.g. sharing live exam questions with candidates in advance of the scheduled exam time; failure to act promptly to contain impact of security breach to centre; failure to arrange exam clash supervision, leading to significant impact.

**Failure to cooperate/
reporting issues**

Minor non-compliance, e.g. delay in meeting investigation timescales without agreement, delay in reporting.

Failure to investigate in accordance with JCQ guidance.

Failure to report a low-impact incident of malpractice. Failure to take action required by an awarding body.

Failure to report a significant case of malpractice; failure to gather information; failure to respond to awarding body communications; submission of investigation reports that are misleading or contain false information that may lead an awarding body to an incorrect conclusion.

This table is for guidance only and sanctions can be flexibly applied according to the details of each individual case. In instances where the box is blank, the sanction may still be used. The structure of awarding bodies' qualifications can differ. Therefore, all the available sanctions may not be relevant for every qualification.

Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 5-9)
Introduction of unauthorised material into the examination room, such as:			
Own blank paper	used for rough work	used for final answers	
Calculators, dictionaries (when prohibited)	not used	used or attempted to use	
Bringing into the examination room notes in the wrong format or prohibited annotations	notes/annotations go beyond what is permitted but do not give an advantage; content irrelevant to subject	notes/annotations are relevant and give an unfair advantage	notes/annotations introduced in a deliberate attempt to gain an advantage
Unauthorised notes, study guides and personal organisers	content irrelevant to subject	content relevant to subject	relevant to subject and evidence of use
Mobile phone or similar electronic devices (including iPod, MP3/4 player, memory sticks, smartphone, smartwatch, smart glasses, smart devices, Air Pods, earphones and headphones)	not in the candidate's possession but makes a noise during the examination	in the candidate's possession but no evidence of being used by the candidate	in the candidate's possession and evidence of being used by the candidate
Watches (not smartwatches)	in candidate's possession		

Standard sanctions:

1. warning;
2. loss of all marks gained for a section;
3. loss of all marks gained for a component;
4. loss of all marks gained for a unit;
5. disqualification from the unit;
6. disqualification from all units in one or more qualifications taken in that series or academic year;
7. disqualification from the whole qualification;
8. disqualification from all qualifications taken in that series or academic year;
9. barred from entering for examinations for a set period of time.

Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 5-9)
Breaches of examination conditions			
A breach of the instructions or advice of an invigilator, supervisor or the awarding body in relation to the examination rules and regulations	minor non-compliance: e.g. sitting in a non-designated seat; continuing to write for a short period after being told to stop	major non-compliance: e.g. refusing to move to a designated seat; significant amount of writing after being told to stop	repeated non-compliance
Failing to abide by the conditions of supervision designed to maintain the security and integrity of the examinations	leaving examination early (no loss of integrity); removing script from the examination room but evidence of the integrity was maintained	removing script from examination room but with no proof that the script is safe; taking home materials	deliberately breaking a timetable clash supervision arrangement; removing script from the examination room and with proof that the script has been tampered with; leaving examination room early so integrity is impaired
Disruptive behaviour in the examination room or assessment session (including use of offensive language)	minor disruption lasting a short time; calling out; causing noise; turning around	repeated or prolonged disruption; unacceptably rude remarks; being removed from the examination room; taking another's possessions	warnings ignored; provocative or aggravated behaviour; repeated or loud offensive comments; physical assault on staff or property

Standard sanctions:

1. warning;
2. loss of all marks gained for a section;
3. loss of all marks gained for a component;
4. loss of all marks gained for a unit;
5. disqualification from the unit;
6. disqualification from all units in one or more qualifications taken in that series or academic year;
7. disqualification from the whole qualification;
8. disqualification from all qualifications taken in that series or academic year;
9. barred from entering for examinations for a set period of time.

Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 5-9)
Exchanging, obtaining, receiving or passing on information (or the attempt to) which could be examination related:			
Verbal communication	isolated incidents of talking before the start of the examination or after papers have been collected	talking during the examination about matters not related to the exam; accepting examination related information	talking about examination related matters during the exam; whispering answers to questions
Communication	passing/receiving written communications which clearly have no bearing on the assessment	accepting assessment related information	passing assessment related information to other candidates; helping one another; swapping scripts

Offences relating to the content of candidates' work

The inclusion of offensive or obscene material in scripts, controlled assessments, coursework, non-examination assessments or portfolios	isolated offensive words or drawings	frequent offensive words or drawings; isolated obscenity or offensive comments directed at an individual or group	frequent obscenities; discriminatory language, remarks or drawings directed at an individual or group
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Standard sanctions:

1. warning;
2. loss of all marks gained for a section;
3. loss of all marks gained for a component;
4. loss of all marks gained for a unit;
5. disqualification from the unit;
6. disqualification from all units in one or more qualifications taken in that series or academic year;
7. disqualification from the whole qualification;
8. disqualification from all qualifications taken in that series or academic year;
9. barred from entering for examinations for a set period of time.

Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 5-9)
Collusion: working collaboratively with others beyond what is permitted	collaborative work is apparent in a few areas, but possibly due to teacher advice; candidate unaware of the regulations	collaborative work begins to affect the examiner's ability to award a fair mark to an individual candidate	candidates' work reflects extensive similarities and identical passages due to a deliberate attempt to share work
Plagiarism: unacknowledged copying from or reproduction of third party sources (including the internet and AI tools); incomplete referencing	minor amount of plagiarism/poor referencing in places	plagiarism from work listed in the bibliography or referenced/acknowledged; or minor amount of plagiarism from a source not listed in the bibliography or referenced/acknowledged	plagiarism from work not listed in the bibliography or referenced/acknowledged; or plagiarised text consists of the substance of the work submitted and the source is listed in the bibliography or referenced/acknowledged
Making a false declaration of authenticity		sections of work done by others but most are still the work of the candidate	most or all of the work is not that of the candidate
Copying from another candidate or allowing work to be copied (including the misuse of technology)	lending work not knowing it would be copied	permitting examination script/work to be copied; showing other candidates' answers	copying from another candidate's script, controlled assessment, coursework, non-examination assessment; borrowing work to copy

Undermining the integrity of the examinations/assessments

The deliberate destruction of work	minor damage to work which does not impair visibility	defacing scripts; destruction of candidate's own work	significant destruction of another candidate's work
The alteration or falsification of any results document, including certificates			falsification/forgery

Standard sanctions:

1. warning;
2. loss of all marks gained for a section;
3. loss of all marks gained for a component;
4. loss of all marks gained for a unit;
5. disqualification from the unit;
6. disqualification from all units in one or more qualifications taken in the series;
7. disqualification from the whole qualification;
8. disqualification from all qualifications taken in that series;
9. barred from entering for examinations for a set period of time.

Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 5-9)
Misuse of, or attempted misuse of, assessment material and resources	attempting to source assessment related information online	accepting assessment related information without reporting it to the awarding body	misuse of assessment material or exam related information, including: attempting to gain or gaining prior knowledge of assessment information; improper access to assessment related information (including electronic means); improper disclosure (including electronic means); receipt of assessment information from the examination room; facilitating malpractice on the part of others; passing or distributing assessment related information to others
Removing or stealing any candidate's work			Unauthorised removal of any candidate's work (e.g. project/coursework)
Personation			deliberate use of wrong name or number; personating another individual; arranging to be personated
Behaving in a way as to undermine the integrity of the examination/assessment			for example, attempting to obtain certificates improperly; attempted bribery; attempting to unfairly influence a centre staff member, awarding body staff member or other assessment representative; attempting to obtain or supply exam materials improperly

Standard sanctions:

1. warning;
2. loss of all marks gained for a section;
3. loss of all marks gained for a component;
4. loss of all marks gained for a unit;
5. disqualification from the unit;
6. disqualification from all units in one or more qualifications taken in that series or academic year;
7. disqualification from the whole qualification;
8. disqualification from all qualifications taken in that series or academic year;
9. barred from entering for examinations for a set period of time.

15 Amendments

Complete table below showing any amendments made from the previous policy
Delete this table if you are submitting a new or policy or is not required

Amendments to Existing Policy

Amendments Made	Page Number	Line/Section Number	Made by	Date
AI Paragraph Added	4	Section 5.1	Alison Bartrip	13.12.2025
Additional Final Sentence in introduction/context re comms.	3	Section 1	Alison Bartrip	13.01.2026
Definitions: JCQ Example of malpractice and new appendix	4	Section 4	Alison Bartrip	13.01.2026
Learner Malpractice example list in new appendix	5	Section 5	Alison Bartrip	13.01.2026
Additional bullet re AI Marking	6	Section 5.2	Alison Bartrip	13.01.2026
Investigation - change to role names and language	8	Section 6	Alison Bartrip	13.01.2026
Section 7 removed as repetitive	8	Section 7	Alison Bartrip	13.01.2026
Investigation report - language changes and mention of invigilation records	10	Section 9	Alison Bartrip	13.01.2026
Sanctions - Appendix 5 Added	10	Section 10	Alison Bartrip	13.01.2026
AI Policy added to linked documents	12	Section 13	Alison Bartrip	13.01.2026
Added Appendices	Page 12 Onwards	Appendices	Alison Bartrip	13.01.2026
Additional paragraph re assessment papers not being removed from site	4	Section 5	Alison Bartrip	06.05.2026