



Malpractice and Maladministration Policy



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Introduction

This policy sets out our approach to malpractice and maladministration. It includes the steps that we will take to manage, mitigate and report potential instances identified in the event that suspected or actual cases of malpractice/maladministration have occurred including our responsibilities in dealing with such cases. It also sets out the procedural steps we will follow when reviewing the cases.

Where malpractice or maladministration is alleged or suspected, we will investigate to determine whether malpractice or maladministration has occurred and will take all reasonable steps to prevent any resulting Adverse Effect. Where an Adverse Effect has occurred, we will take all necessary steps to mitigate or correct the Adverse Effect and will notify the Regulators accordingly.

This policy is designed to:

- protect registered candidates
- minimise the risk of an Adverse Effect from occurring
- help ensure that compliance with regulatory conditions is maintained.

Scope

This policy is aimed at the users of our qualifications, who are taking, delivering, or assessing our



communicate any CIOLQ changes to systems and procedures to staff/assessors/moderators in a clear and timely manner.

Responsibilities of CIOLQ in preventing malpractice and maladministration

In order to prevent the occurrence of malpractice and maladministration CIOLQ will:



Examples of candidate malpractice

This could include (this list is not exhaustive):

- Plagiarism – failure to acknowledge sources properly and/or the submission of another person's work as if it were the candidate's own
- Collusion with others when an assessment must be completed by individual candidates
- Copying – from another candidate
- Personation – assuming the identity of another candidate or having someone assume your identity during an assessment
- Inclusion of inappropriate, offensive, discriminatory or obscene material in assessment evidence. This includes vulgarity and swearing that is outside of the context of the assessment, or any material of a discriminatory nature (including racism, sexism and homophobia)
- Inappropriate behaviour during an assessment that causes disruption

Examples of Awarding Organisation malpractice

This could include (this list is not exhaustive):

- Insecure storage of assessment instruments and marking guidance
- Misuse of assessments, including inappropriate adjustments to assessment decisions
- Deliberate falsification of records in order to support the issuing of certificates
- Knowingly failing to adhere to regulations
- Failure to keep examination question papers and other assessment materials secure, before, during or after an examination
- Assisting or giving candidates answers to examination question papers and assignment briefs
- Failure to act on recognition of maladministration or malpractice carried out by CIOLQ stakeholders or other CIOLQ staff members/assessment associates/contractors

Identifying Malpractice and Maladministration

Malpractice or maladministration may be identified by the following activities:

- At centre level through scheduled quality assurance activity and monitoring
- At CIOLQ through intelligence, complaints or feedback received from centre staff, candidates, whistle blowers, assessors, etc.
- At CIOLQ through information from other organisations e.g., evidence or knowledge from Awarding Organisations, Ofqual or other stakeholders

Malpractice/suspected malpractice may be identified by the following persons:

- A CIOLQ Assessment Associate
- A CIOLQ member of staff
- Board or Council member
- Centre staff
- A whistle blower
- A Candidate
- A Regulator



The investigation may involve:

- A request for further information

- Interviews (face to face or by telephone) with personnel involved in the investigation

- Where a member of CIOLOQ's staff is under investigation they may be suspended, or they may be moved to other duties until the investigation is complete.

Throughout the investigation our Head of Qualifications will be responsible for overseeing the work of the investigation team to ensure that due process is being followed, appropriate evidence has been gathered and reviewed for liaising with and keeping relevant parties informed.

Suspected malpractice by a candidate. During the investigation process CIOLOQ will:

- Decide on its response

- Decide whether there is a case to answer and recommend that the candidate's results be withheld

- Decide whether to investigate the case further, in which case the candidate will be informed

- Inform the candidate of which results will not be released until the investigation is complete and may request the candidate to provide a statement concerning the alleged malpractice

- Decide whether the candidate's results can be released, in which case the original results will be issued

- Decide whether the results should be withheld indefinitely, in which case the paper for each component in which malpractice has been confirmed will be voided and zero marks awarded

- If the candidate wishes to appeal against a malpractice decision, they can do so in writing within 10 days, to the Head of Qualifications.

- This will be considered by the IoLET Trust Board, and their decision given within 5 days of that meeting.

Suspected malpractice by a centre, if relevant. During the investigation CIOLOQ will:

- Decide on its response

- Decide whether there is a case to answer and recommend that the results are withheld. The result withheld could be the results of an individual candidate or selected candidates or of the whole exam session at a centre

- Decide whether to investigate the case further, in which case the centre will be informed that an investigation is being conducted

- Either decide to notify affected candidates directly or through the centre. In the case of the latter, the centre is asked to inform the affected candidates and to act as an intermediary between CIOLOQ and the candidate in the investigation if appropriate

- Inform the centre of which results will not be released until the investigation is complete and request a report concerning the alleged malpractice or maladministration

- Give the centre 10 working days from the date of the notification in which to respond

- Decide whether to suspend the centre from enrolling new candidates for CIOLOQ exams until the investigation is complete. If this happens, the centre may be required to permit affected candidates to take resits at another centre during the investigation

- Decide whether it is necessary to seek further evidence from candidates, the examiner, and marker

- Reconsider all the evidence, considering the centre's report and any additional information.

Reporting

Where the investigation into the alleged malpractice has been carried out by the centre, the exam officer or their nominee should submit a written report to CIOLOQ.



Regulatory references

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| Ofqual General Conditions of Recognition |
| Condition A6: Identification and management of risks |
| Condition A7: Management of incidents |
| Condition A8: Malpractice and maladministration |
| Qualifications Wales |