



Document Administration

Document Title:	Assessment Malpractice and Maladministration Policy for Externally Awarded Qualifications
Document Category:	Policy
Version Number:	1.0
Status:	Approved
Reason for development:	To provide a framework for identifying and addressing assessment malpractice and maladministration for externally awarded qualifications and to comply with awarding body requirements.
Scope:	This procedure applies to staff, and apprentice/student and their employers
Author / developer:	Governance, Operations and Compliance Manager
Owner	Registrar
Assessment: (where relevant)	Tick relevant assessments <input checked="" type="checkbox"/> Equality Assessment <input type="checkbox"/> Legal <input type="checkbox"/> Information Governance <input type="checkbox"/> Academic Governance
Consultation: (where relevant)	<input type="checkbox"/> Staff Trade Unions via HR <input checked="" type="checkbox"/> Students via Bishop Grosseteste University Students' Union <input type="checkbox"/> Any relevant external statutory bodies
Authorised by (Board):	Senate
Date Authorised:	13 December 2017
Effective from:	13 December 2017
Review due:	December 2020
Document location:	University Website
Document dissemination / communications plan	Emailed website link to key staff, the Students' Union, Student Advice
Document control:	All printed versions of this document are classified as uncontrolled. A controlled version is available from the University website.



Assessment Malpractice and Maladministration Policy for Externally Awarded Qualifications

Introduction

1. The Assessment Malpractice and Maladministration Policy for Externally Awarded Qualifications provides definitions for the identification of assessment malpractice and maladministration; a sequence of actions for the investigation of alleged malpractice and maladministration and guidelines for the application of penalties in confirmed cases.
2. The University's Assessment Malpractice and Maladministration Policy for Externally Awarded Qualifications seeks to reduce the risk of malpractice and/or maladministration by:
 - increasing awareness and understanding of the actions that constitute malpractice and/or maladministration by apprentices/students, teachers, trainers, and other staff to reduce risk of breach of regulations through ignorance; to aid detection of any irregularities;
 - explaining how apprentices/students and staff will be made aware of this policy;
 - identifying strategies to be employed to minimise risk of apprentice/student malpractice;
 - describing how instances of alleged malpractice will be dealt with.

Definitions of Assessment Malpractice and Maladministration

3. Malpractice refers to any deliberate act or practice which compromises, or threatens to compromise the process and integrity of assessment, and as a result the validity of the result or certificate awarded.
4. Assessment processes and outcomes can also be put at risk through maladministration; whilst malpractice is a deliberate act, maladministration may be accidental or a result of incompetence or a simple mistake.

Informing Apprentices/Students

5. The University will communicate the Assessment Malpractice and Maladministration Policy for Externally Awarded Qualifications to apprentices/students through the following means:
 - group tutorials during the induction period;
 - 'Information for Students' area of the Virtual Learning Environment (VLE) and on the University's website;
 - assessors and trainers have responsibility for ensuring that apprentices/students are made aware of this policy before undertaking any assessed work which has the potential to contribute to the awarding of a qualification.



6. In addition, information for apprentices/students relating to written examinations, onscreen tests, controlled assessment and coursework will be made available via the Virtual Learning Environment (VLE).

Malpractice

7. The lists below are not exhaustive and the University at its discretion may consider other instances of malpractice.
8. Specific examples of staff malpractice might include:
 - improper assistance to apprentices/students;
 - inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the apprentices'/students' achievement to justify the marks given or assessment decisions made;
 - failure to keep apprentice/student coursework/portfolios of evidence secure;
 - assisting apprentices/students in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves producing work for the apprentice/student;
 - producing falsified witness statements, for example for evidence the apprentice/student has not generated;
 - allowing evidence to be included for assessment which is known by the staff member not to be the apprentice's/student's own;
 - facilitating and allowing impersonation;
 - misusing the conditions for special apprentice/student requirements;
 - falsifying records/certificates, for example by alteration, substitution, or by fraud;
 - fraudulent certificate claims, that is claiming for a certificate prior to the apprentice/student completing all the requirements of assessment.
9. Examples of apprentice/student malpractice include:
 - 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;
 - failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
 - collusion: working collaboratively with other apprentices/students, beyond what is permitted;
 - copying from another apprentice/student (including the use of ICT to aid the copying);



- allowing work to be copied e.g. posting written coursework on social networking sites prior to an examination/assessment;
- disruptive behaviour in the examination room or during an assessment session (including the use of offensive language);
- exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examination related by means of talking, electronic, written or non-verbal communication;
- making a false declaration of authenticity in relation to the authorship of controlled assessments, coursework or the contents of a portfolio;
- allowing others to assist in the production of controlled assessments, coursework or assisting others in the production of controlled assessments or coursework;
- 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 inappropriate, offensive or obscene material in scripts, controlled assessments, coursework or portfolios;
- impersonation: pretending to be someone else, arranging for another person to take one's place in an examination or an assessment;
- plagiarism: unacknowledged copying from published sources or incomplete referencing;
- bringing into the examination room or assessment situation unauthorised material, for example: notes, study guides and personal organisers, own blank paper, calculators, dictionaries (when prohibited), instruments which can capture a digital image, electronic dictionaries, reading pens, translators, wordlists, glossaries, iPods, mobile phones, MP3 players, pagers or other similar electronic devices;
- behaving in a manner so as to undermine the integrity of the examination.

Procedure for the Investigation and Determination of Allegations of Apprentice/Student Assessment Malpractice and Maladministration

10. All University staff have a responsibility for reporting any suspected incidences of apprentice/student malpractice through the appropriate channels:
11. In addition allegations of suspected malpractice may be made by external moderators, verifiers, examiners and reported to the University via the awarding organisation.
12. Allegations of suspected apprentice/student malpractice will be made in the first instance to the relevant assessor.
13. In the event of apprentice/student malpractice the assessor will follow the appropriate Bishop Grosseteste University policies and procedures, i.e. Code of Practice for Academic Misconduct, Student Disciplinary Policy etc. Where this applies to a qualification falling under Ofqual, their guidance and policies will be adhered to.



Procedure for the Investigation and Determination of Allegations of Staff Assessment Malpractice and Maladministration

14. All University staff and apprentices/students have a responsibility for reporting any suspected incidences of staff malpractice through the appropriate channels:
15. In addition allegations of suspected malpractice may be made by external moderators, verifiers, examiners and reported to the University via the awarding organisation.
16. Allegations of suspected staff malpractice will be made in the first instance to the relevant line manager and Institutional Lead for the qualification.
17. In the event of staff malpractice the line manager or designated investigator will follow the appropriate Bishop Grosseteste University policies and procedures, i.e. Code of Practice for Academic Misconduct, Staff Disciplinary Policy etc, where this applies to a qualification falling under Ofqual, their guidance and policies will be adhered to.
18. All investigations into staff malpractice and/or maladministration will be reported to and recorded by Human Resources.

Possible Actions Taken by the University

19. In cases where it is believed that there is clear evidence of malpractice and/or maladministration:
 - the appropriate external awarding body will be informed by BGU of the allegation of malpractice and they will be given the supporting evidence;
 - BGU will take internal disciplinary action in line with policy and procedures. This action will be commensurate with the seriousness of the malpractice and/or maladministration, where this applies to a qualification falling under Ofqual, their guidance and policies will be adhered to.
20. The University accepts the responsibility to report any suspicion of apprentice/student or staff assessment malpractice to the appropriate external awarding organisation. The only exception to this relates to assessment malpractice in coursework or assessment/s which are discovered prior to the apprentice/student signing the declaration of authentication. In these cases the incident need not be reported to external awarding bodies, but will be dealt with in accordance with the appropriate University Code of Practice. Any work which is not the apprentice's/student's own will not be given credit; in addition a note will be added to the cover sheet to detail any assistance that has been given. In all other instances of suspected malpractice the Governance and Compliance Manager will submit the fullest details of the case at the earliest opportunity to the relevant awarding body as per Joint Council of Qualification (JCQ) regulations.
21. In any instances where suspected malpractice will be reported to awarding bodies the University will provide the individual/s with a completed copy of the form or letter used to notify the awarding body of the malpractice.