

# Malpractice & Maladministration policy

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This document details the current Chartered Quality Institute (CQI) policy for malpractice and maladministration.

## **Introduction**

The Chartered Quality Institute has an obligation to its stakeholders (e.g. CQI members, Boards, employers) to ensure that the qualifications that are issued to the students are a fair and accurate representation of their knowledge and skills acquired during the study.

Examination misconduct or plagiarism undermine the value and integrity of the CQI qualifications and the credibility of the students' achievements.

Incidents of malpractice/maladministration can potentially lead to centre's deregistration and student's disqualification from further CQI study. It should be therefore in everyone's interest to prevent malpractice and maladministration from occurring wherever possible.

This policy applies to CQI registered and approved education centres, examination venues and students enrolled on the CQI qualifications.

## **1. Definitions**

### **1.1 Malpractice**

The term 'malpractice' covers any deliberate actions, neglect, default or other practice that compromises, or could compromise:

- The assessment process
- The integrity of a regulated qualification
- The validity of a result or certificate
- The reputation and credibility of the Chartered Quality Institute.

### **1.2 Maladministration**

Maladministration is any activity, neglect, default or other practice that results in a centre not complying with the specified requirements for delivery of the qualifications as set out in the relevant guidelines or codes of practice, where applicable.

## 2. Examples of Malpractice and Maladministration

Malpractice or maladministration can be committed by a variety of people both inside and outside the educational system e.g. students, tutors, centre administrators, etc.

The following are examples of acts that will be deemed to constitute malpractice or maladministration in line with the definitions given above. This list is not exhaustive, and the CQI reserves the right to deem other acts as malpractice or maladministration based on the evidence at hand.

### 2.1 *Malpractice or maladministration by students*

- A student arranging for someone else to sit an examination for him/her.
- Impersonation of another examination student.
- Possession of materials not permitted in the examination room, e.g. notes, books, dictionaries/calculators (when prohibited), blank paper, mobile phones, iPads... Possession of such materials will be considered to be malpractice whether or not the student uses them, or the information contained within the materials is relevant to the examination being sat.
- Communicating with other students in the examination room in breach of CQI Examination rules for students
- Copying the work of another student or knowingly allowing a student to copy from his/her own work.
- Working collaboratively with any other student(s) by whatever means during examinations.
- Including offensive/inappropriate material in examination scripts.
- Plagiarism or misrepresentation (see Appendix I for CQI Plagiarism Statement).
- Failure to adhere to instructions given by an examination invigilator in relation to the examination regulations, e.g. continuing to work beyond the allotted examination time, refusing to hand in the examination script and/or examination paper when requested, not adhering to warnings relating to conduct during the examination.
- Disruptive behavior (including offensive language and aggressive/violent conduct) in the examination venue.

### 2.2 *Malpractice or maladministration by education centres*

- Failure to use current assignments for assessments
- Failure to train centre tutors to ensure they award student marks in accordance with the marking guidelines
- Failure to dispatch student assignments or examination scripts to the CQI within required timescales
- Late registrations of students with CQI
- Failing to maintain the security of students scripts prior to dispatch to the CQI
- Failing to issue to students the appropriate notices and reminders
- Submission of incomplete and incorrect registration forms resulting in further delays to CQI registration processes
- Failure to conduct a full investigation of a suspected malpractice at centre level
- Failure to notify the CQI of an instance of suspected malpractice in examinations or assignments.

### 2.3 *Malpractice or maladministration by examination centre staff/invisitors*

- Moving the time or date of fixed examination without a permission from the CQI
- Failing to ensure the examination venue is appropriate for CQI's examinations conduct
- Failure to keep examination question papers or scripts secure before, during or after an examination as required by the CQI.
- Knowingly allowing an individual to impersonate a student.
- Allowing a student to possess and/or use materials not permitted in the examination room.
- Allowing students to communicate with each other during an examination in breach of CQI regulations.
- Allowing a student to copy another student's work, or allowing a student to let his/her own work to be copied.
- Allowing students to work collaboratively during an examination.
- Advising and/or assisting a student with his/her examination answers.
- Allowing a student to work beyond the allotted examination time.
- Damaging a student's work.
- Tampering with, or forgery of, results files and/or associated documentation.
- Disruptive behavior (including offensive language and aggressive/violent conduct) in the examination venue.
- Leaving students unsupervised during the examination.
- Divulging any information relating to a student's examination performance and/or result to anyone other than the student him/herself.
- Failure to dispatch the exam materials within 24 hrs after last examination.
- Failure to maintain the security of students' scripts prior to dispatch to the CQI as specified in CQI Exam requirements.

### **3. Preventing Malpractice and Maladministration**

Education centres and examination centres staff have roles and responsibilities in relation to malpractice and maladministration. They are responsible for:

- Ensuring the Head of Centre understand what constitutes malpractice and maladministration and their role in preventing malpractice and maladministration and the need to communicate necessary points to all centre staff.
- Creating their own malpractice and maladministration procedures (e.g. Plagiarism policy, Examinations policy) for preventing and dealing with malpractice/maladministration
- Taking reasonable steps to prevent malpractice/maladministration from arising
- Ensuring all centre staff involved in CQI assessments are aware, fully understand and comply with the centre malpractice and maladministration policy.

## **4. Reporting Suspected Cases of Malpractice or Maladministration by students at the examination venues**

### *4.1 Reporting suspected cases of malpractice to the CQI*

The examination centre staff need to conduct further investigation of the events that have led to the alleged malpractice and submit a written report of all cases of suspected malpractice to CQI's Education Manager. The report should include a statement of the facts, detailed account of the circumstances and the actions taken by the examination venue staff/invigilator(s). Any written evidence relevant to the incident, e.g. confiscated materials, statements from individuals involved, must accompany the examination invigilator's report.

### *4.2 Usage of any unauthorised materials*

In cases where a student is discovered to be in possession of any unauthorised materials during an examination:

- Examination invigilator will confiscate the materials.
- Examination invigilator will note on the student's examination script the time and point within the script at which the discovery was made.
- The student will be requested to sign the note or record to confirm its accuracy.
- Student will be allowed to continue working for the remainder of the examination without prejudice to the final outcome.
- Examination invigilator will make a list of the confiscated materials, provide a copy of the list to the student and inform him/her that the confiscated materials will be submitted to the CQI with the invigilator's written report.

### *4.3 Suspected students communication*

In cases where the examination invigilator suspects that students may have been communicating/collaborating the examination invigilator will notify these students and will note in the written report the suspected students ID's, the time and make a note within the script at which the discovery was made. Suspected students will be allowed to continue working for the remainder of the examination without prejudice to the final outcome.

### *4.4 Providing information to the student in a case of suspected malpractice*

In all cases where a student is suspected of malpractice during an examination, they will first be warned by the examination invigilator that his/her actions are in breach of CQI examination regulations and therefore might constitute malpractice.

A student suspected of malpractice of any form will need to be informed by the examination invigilator that:

- 4.4.1 A full written record will be made and submitted to the CQI.
- 4.4.2 Before leaving the examination venue, they have the right to provide a statement explaining their conduct that will be included in the examination invigilator's written report.
- 4.4.3 They may subsequently be contacted by CQI and informed that an investigation is taking place.

## **5. Reporting suspected cases of Plagiarism by students at education centres**

### *5.1 Reporting suspected cases of plagiarism to the CQI*

The assignment markers are required to check every assignment to identify any cases of plagiarism. If there is a reason to believe that the student is involved in malpractice, they need to inform the student and conduct further investigation. It can be a genuine error and in such case the student should be allowed to re-submit their assignment(s) before the final submission to the CQI.

In case the student submits their final assignment that is in a breach with the CQI Plagiarism statement, the centre should not send assignments that are a subject to plagiarism investigation to the CQI. The education centre needs to inform the CQI at the assignment submission point that the assignment will be withdrawn due to suspected plagiarism. The CQI will require the centre to conduct further investigation and inform the CQI about the outcomes.

## **6. Anonymous Reports of Suspected Malpractice or Maladministration**

The CQI will take all reasonable steps to investigate suspected cases of malpractice or maladministration that are reported anonymously provided that the information supplied establishes a prima facie case for investigation.

- 6.1 Suspected cases of malpractice or maladministration by a staff member of education centre or an organisation running an examination venue or examination invigilator may be reported by students, centre's staff, examination invigilators or a member of the public.
- 6.2 CQI Education Manager should be contacted in the first instance to be informed about the alleged case of suspected malpractice or maladministration. Where suspected malpractice or maladministration is brought to attention of the CQI verbally (e.g. by telephone), the CQI may wish to request that the allegation is presented in writing (including by email) before starting full investigation.
- 6.3 The person that reports the suspected malpractice or maladministration may be required to submit more information in writing as follows:
  - The education/examination centre name.
  - The date, time and title of the examination if applicable.
  - The student's name and CQI student number, if applicable.
  - The name of the member of staff in question if applicable.
  - A full description of the suspected malpractice or maladministration.
  - Relevant evidence, if applicable.
- 6.4 The CQI reserves the right not to investigate cases reported anonymously in cases where there is no evidence or if insufficient evidence has been provided.

## **7. Reporting Suspected Cases of Student Malpractice by CQI Examiner**

- 7.1 Where an examiner identifies suspected malpractice or maladministration by a student, e.g. the student's examination script or assignment appears to show evidence of copying from another student, collaboration with another student, plagiarism, inappropriate/offensive material, this must be reported in writing to CQI's Education Manager immediately.

## **8. CQI Action upon a receipt of a Report of Suspected Malpractice or Maladministration**

- 8.1 The CQI Education Manager will seek to establish the full facts and circumstances of the alleged malpractice or maladministration before deciding to initiate an investigation.
- 8.2 The CQI Education Manager will notify the individual or centres concerned that an investigation will take place and ask them to respond by way of a personal written report explaining the circumstances of the case and request that this is submitted to CQI within 15 working days.
- 8.3 The CQI will also inform the individual or centres concerned that, if the case of suspected malpractice or maladministration is proven, that one or more sanctions might be imposed and that such sanctions will reflect the seriousness of the case.
- 8.4 The individual or centres will also be notified of any requirement on the CQI to report cases of proven malpractice or maladministration to the relevant authorities/regulators subject to completion of the process and only after time for appeal has passed or the appeal process has been completed.
- 8.5 In cases of suspected malpractice or maladministration where more than one individual is involved, e.g. where students are suspected of working collaboratively, the CQI will contact each individual concerned separately.
- 8.6 The CQI will take all reasonable steps to ensure that reports and the relevant accompanying evidence have been submitted and are complete. It reserves the right to request further information if this is deemed necessary in order to investigate the case.
- 8.7 When all relevant documentary evidence has been received, each individual involved will be notified by CQI that the allegation will be considered by the CQI Awarding Committee and informed that they will be notified of the outcome will be within 20 working days.
- 8.8 The CQI Awarding Committee will consist of the Chief Examiner, Principal Examiners and the CQI Education Manager. On considering a case of alleged malpractice or maladministration, the CQI Awarding Committee will convene to confirm whether the correct procedures have been followed thus far, including that each individual suspected of malpractice or maladministration has been given the opportunity to respond by submitting a personal written report.

- 8.9 The CQI Awarding Committee will then review the documentary evidence available. The CQI Awarding Committee reserve the right to request further information. In such cases, if there is likely to be any delay, the individuals involved will be informed accordingly.
- 8.10 When all appropriate evidence is available, the CQI Awarding Committee will review the case and decide whether the act constitutes malpractice or maladministration. If the CQI Awarding Committee is of the opinion that there is no case to answer, the individual(s) involved will be informed in writing within 2 working days of the decision being made.
- 8.11 If the outcome of the review of the evidence is that the CQI Awarding Committee decides that malpractice or maladministration has taken place, it will then decide what action, if any, is to be taken. It will set out its reasons, which will be reported to the relevant parties.
- 8.12 If the case has been proven, CQI will provide details of the Committee's findings and what sanctions, if any, are to be applied.
- 8.13 If the case is proven, the individual(s) concerned will also be notified of any requirement on the CQI to report cases of proven malpractice or maladministration to the relevant authorities/regulators subject to completion of the process and only after time for appeal has passed or the appeal process has been completed.

## **9. Imposition of Sanctions in Cases of Proven Malpractice or Maladministration**

- 9.1 The CQI Awarding Committee is empowered to impose one or more sanctions upon individual(s) or centre guilty of malpractice.
- 9.2 Sanctions applicable to a proven case of malpractice or maladministration will be dependent upon the type and seriousness of the act. The CQI Awarding Committee will ensure that any sanctions imposed reflect the seriousness of the act and that all similar cases are treated in an equitable, fair and unbiased manner.
- 9.3 Examples of possible sanctions are provided below. The list is not exhaustive and the CQI Awarding Committee reserves the right to recommend to the CQI the sanctions to be imposed.

### **9. Sanctions Relating to Malpractice or Maladministration by students**

- 9.1 A written warning about future assessment conduct.
- 9.2 Loss of marks for a defined section of the relevant examination or assignment. This may lead to the student having to retake the whole unit.
- 9.3 Loss of marks for the entire relevant examination or assignment (resulting in having to retake the particular unit).



- 9.4 Loss of marks for the entire relevant examination or assignment and all examinations or assignments completed previously (resulting in having to re-sit all previous units).
- 9.5 The student being not allowed to re-sit the relevant examination or re-submit the relevant assignment unit for a specified period of time (up to 3 years).
- 9.6 Notification to the student's education centre and/or employer may be issued.
- 9.7 Malpractice by a student may breach the CQI Code of Conduct, depending on the nature of the malpractice. As a result, CQI Membership may be withdrawn from the student.

## **10. Sanctions Relating to Malpractice or Maladministration by examination venue staff/invigilators**

- 10.1 A written warning about future examination conduct.
- 10.2 Notification to the organisation employing the individual to act as a member of examination venue staff or as an examination invigilator that the person in question is not permitted to have any involvement with CQI examinations until retrained in CQI procedures/ requirements to the satisfaction of the CQI.
- 10.3 Notification to the organisation employing the individual to act as a member of examination venue staff or as an examination invigilator, that the person in question is not permitted to have any future involvement with CQI examinations at all.
- 10.4 Withdrawal of examination venue from any future CQI examinations.

## **11. Sanctions Relating to Malpractice or Maladministration by education centres**

- 11.1 Education centre receives a written warning about future assessments delivery.
- 11.2 Education centre is required to complete an action plan that will include further staff training.
- 11.3 Education centre will receive a monitoring visit at a cost to the centre.
- 11.4 The CQI will appoint for a specified period of time, at the centre's expenses, internal verifiers or external invigilators to ensure that the conduct of assessment marking/ examinations complies with the CQI regulations.
- 11.5 Withdrawal of education centre's registered or approved status.

## **12. Right of Appeal against a CQI Awarding Committee Decision/Sanction**

- 12.1 The individual(s) or centres concerned have the right to appeal against any decision(s) or sanction(s) imposed by the CQI Awarding Committee.
- 12.2 An appeal must be made in writing to the Executive Director, CQI Membership within 30 working days from receipt of the written notification of the CQI Awarding Committee's decision.
- 12.3 An appeal will only be considered if the individual can show that the CQI did not apply procedures consistently during the original investigation or that procedures were not followed properly and fairly.

## **13. CQI Action upon Receipt of an Appeal**

- 13.1 On receipt of an appeal, the CQI will acknowledge receipt within 5 working days.
- 13.2 All appeals of the decisions made by the CQI Awarding Committee will be dealt with under CQI's Appeals policy.

## **14. Reporting Cases of Malpractice and Maladministration to External Parties**

- 14.1 The CQI will maintain detailed records of all cases of suspected malpractice, proven or otherwise.
- 14.2 In case the CQI believes that the malpractice case could have had an Adverse Effect on the CQI qualifications integrity, Ofqual will be formally notified of the case in sufficient detail to fulfil the regulatory requirements.

## **Appendix I - CQI Plagiarism Statement**

Plagiarism is passing off the work (either completely or in part) of another person as one's own. This includes failing to acknowledge sources of information that students have used in their work. Submitted material for assessment that draws on the work of others must be clearly referenced throughout the assignment or project and the reference list must be included at the end of coursework.

Therefore, any work that is submitted which is not referenced is, by default, claimed as the student's own work.

Students must not copy text, calculations, diagrams, etc... from other students' work, from written sources, from the Internet or from any other source whether this is through cutting and pasting, rewriting or any other means. Any attempts to change a few words within a copied text counts as plagiarism.

Even if the work is the student's own, e.g. from a previously-written assignment or work submitted for another qualification, then this too can be counted as plagiarism, if it is not appropriately referenced.

If a student allows another student access to his/her work, and it is then plagiarised by (by them or anyone else) then both students are regarded as being party to that plagiarism whether they knew about it or not.

Finally, it is also unacceptable to present work as being that of others (reverse plagiarism). For example, inventing data or references to lend credibility to one's own work is considered to be misrepresentation.

### How can plagiarism be prevented at the education centres?

There are many ways to identify plagiarism, as per suggested below:

- Tutors checking the student's coursework may notice changes in the student's style of writing or grammar in certain sections- these may be areas that have been copied from other sources.
- Diagrams/illustrations are not labelled
- No references are provided throughout the assignment and/or missing reference list at the end of the coursework
- Tutors checking the student's coursework may spot similarities with other assignment(s) they have marked previously
- Computer software to detect plagiarism can be used.

The CQI provides further information on how to reference correctly in "Referencing guide for CQI students".