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## Introduction

This policy sets out the approach that CIOL Qualifications (CIOLQ) will take to manage malpractice and maladministration. It includes the steps that we will take to manage, mitigate and report where suspected or actual cases of malpractice and/or maladministration have occurred. This policy additionally identifies CIOLQ's responsibilities in dealing with any, or all, of the following procedural steps we will follow when reviewing cases such as:

Where malpractice or maladministration is alleged or suspected, we will promptly determine whether either instance 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 appropriate regulatory bodies.

This policy is designed to:

- protect registered candidates
- minimise the risk of adverse effect from occurring
- help ensure that compliance with regulatory commitments is maintained

## Scope

This policy is aimed at the use of CIOLQ qualifications who are taking, delivering or assessing CIOLQ regulated qualifications in accordance with the CIOLQ Quality Standard (CIOLQ QS) 1.0.0. It applies to all CIOLQ regulated qualifications in the UK and Ireland. (CIOLQ QS 1.0.0, 1.1.1, 1.1.2, 1.1.3, 1.1.4, 1.1.5, 1.1.6, 1.1.7, 1.1.8, 1.1.9, 1.1.10, 1.1.11, 1.1.12, 1.1.13, 1.1.14, 1.1.15, 1.1.16, 1.1.17, 1.1.18, 1.1.19, 1.1.20, 1.1.21, 1.1.22, 1.1.23, 1.1.24, 1.1.25, 1.1.26, 1.1.27, 1.1.28, 1.1.29, 1.1.30, 1.1.31, 1.1.32, 1.1.33, 1.1.34, 1.1.35, 1.1.36, 1.1.37, 1.1.38, 1.1.39, 1.1.40, 1.1.41, 1.1.42, 1.1.43, 1.1.44, 1.1.45, 1.1.46, 1.1.47, 1.1.48, 1.1.49, 1.1.50, 1.1.51, 1.1.52, 1.1.53, 1.1.54, 1.1.55, 1.1.56, 1.1.57, 1.1.58, 1.1.59, 1.1.60, 1.1.61, 1.1.62, 1.1.63, 1.1.64, 1.1.65, 1.1.66, 1.1.67, 1.1.68, 1.1.69, 1.1.70, 1.1.71, 1.1.72, 1.1.73, 1.1.74, 1.1.75, 1.1.76, 1.1.77, 1.1.78, 1.1.79, 1.1.80, 1.1.81, 1.1.82, 1.1.83, 1.1.84, 1.1.85, 1.1.86, 1.1.87, 1.1.88, 1.1.89, 1.1.90, 1.1.91, 1.1.92, 1.1.93, 1.1.94, 1.1.95, 1.1.96, 1.1.97, 1.1.98, 1.1.99, 1.1.100)



- Intentional withholding of information from candidates critical to maintaining the rigour of quality assurance and standards
- Deliberate misuse of the CIOLO and trademarks
- Forgery of evidence
- Collusion or permitting collusion in exams
- Candidates still working towards qualifications after certification claims have been made
- Contravention by CIOLO exam venues and candidates of the assessment arrangements we specify for CIOLO qualifications
- Insecure storage of assessment materials and exam papers
- Plagiarism of any nature by candidates
- Unauthorised amendment, copying or distribution of exam papers
- Inappropriate assistance to candidates by exam venue staff (e.g., unfairly helping them to pass a unit or qualification)
- Submission of false information to gain a unit and/or qualification
- Failure to keep exam papers and other assessment materials secure, before, during or after an exam
- Allowing a candidate to possess electronic devices or materials forbidden in the assessment
- Allowing candidates to work beyond the allocated exam time
- Leaving candidates unsupervised during an exam
- Assisting or prompting candidates with answers

## Definition of Maladministration

Maladministration is essentially any activity that results in non-compliance with administrative regulations and requirements including the application of persistent mistakes or poor administration within an exam venue (e.g., inappropriate use of candidates).

Whilst it is not usually deliberate, each case

- Failure to maintain appropriate auditable records (e.g. certification claims and/or forgery of evidence)

### Examples of candidate malpractice

This could include, but is not limited to:

- 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, material of a discriminatory nature (including racism, sexism, homophobia)
- Inappropriate behaviour during an assessment that causes disruption

### Examples of awarding organisation malpractice

This could include, but is not limited to:

- Insecure storage of assessment instruments and marking guidance
- Misuse of assessments, including inappropriate adjustments to assessment decisions
- Deliberate falsification of records to support the issuing of certificates
- Knowingly failing to adhere to regulations
- Failure to keep exam question papers and other assessment materials secure before, during or after the assessment



## Investigation of malpractice or maladministration

There are a number of ways in which ~~work~~ ~~with~~





- Decide whether it is necessary to seek further evidence from the examiner, and marker
- Reconsider all evidence needed, including the exam venue report and any additional information received

## Reporting

Where the investigation into the alleged malpractice has been carried out by **the exam** venue officer or their nominee should submit a written report to CIOLQ.

Where the investigation has been carried out by CIOLQ, a written report will be produced

Examinations may include but not be limited to

- Suspension of exam approval status (either temporary or permanent)
- Written warning
- Implementation of action plan, agreed with CIOLQ
- Additional monitoring or quality assurance
- Suspension of candidate registration

Candidate sanctions may include but not be limited to

- Issuing a written warning
- Results null and voided
- Loss of marks
- Being debarred from future exam sessions

## Appeals

Appeals may be made against any outcome and resulting sanctions arising from or maladministration investigation and decision. The appellant must clearly and comprehensively establish the grounds for the appeal alongside ensuring the provision of any and all supporting evidence. Such evidence may include:

- Further evidence coming to light that alters the original decision
- Evidence that the outcome is not in line with specific guidelines, regulations
- Belief that evidence submitted was incorrect, misinterpreted or not based on the facts of the case

Any appeal must be made formally in writing (attention of the Head of Qualifications) to [qualifications@ciol.org.uk](mailto:qualifications@ciol.org.uk)

Stage 1 will consist of a review of the case evidence and documentation by the Head of Qualifications or relevant Manager

Stage 2 will consist of a review of evidence by including the Head of Qualifications and independent representatives

Any appeals must be received by CIOLQ within 14 days of the date of the initial investigative outcome

Please note that this is different to the Review of Marking and Independent Appeals Policy found on our website, which assesses appeals against assessment results.

## Disclosure and confidentiality

In instances where there could be an adverse effect specifically involving alleged fraud or serious threat to the integrity of certification, CIOLQ is required to report the matter to the relevant authorities and (as relevant) the awarding organisations.

During the process of investigation and reporting we may need to access confidential information. We will keep the information secure and only use it for the purposes of the investigation and data protection legislation.

Disclosure to third parties will only take place where an obligation exists, for example if directed by the Regulators, Police or other relevant legal parties.

