



## EDAS Guidance for Investigations of Malpractice & Maladministration of Ascentis Qualifications

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**Signed: (EDAS Chair)**

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**By Whom: EDAS Board of Trustees**

### Introduction

This guidance relates to EDAS as an approved centre of Ascentis where suspected malpractice and maladministration on the part of candidates, EDAS centre staff and any others involved in providing the qualification is identified. In the case of suspected malpractice or maladministration, the centre will inform the Awarding Organisation (Ascentis) before any investigation or further steps are taken. It outlines the steps EDAS should follow when investigating suspected or actual cases of malpractice/ maladministration within the organisation. Please use this guidance document in conjunction with the EDAS Malpractice and maladministration policy.

### Definitions

#### Maladministration

Maladministration is essentially any activity or practice which results in non-compliance with administrative regulations and requirements and includes the application of persistent mistakes or poor administration within a centre (e.g. inappropriate learner records).

#### Malpractice

Malpractice is essentially any activity or practice which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and/or the validity of certificates. It 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 Ascentis and/or EDAS
- the qualification or the wider qualifications community

Malpractice may include a range of issues from the failure to maintain appropriate records or systems to the deliberate falsification of records in order to claim certificates. For the purpose of this guidance, this term also covers misconduct and forms of unnecessary discrimination or bias towards certain, or groups of, learners.

#### Examples of Maladministration

Examples of maladministration include, but are not restricted to:

Failure to adhere to the regulations regarding the conduct of controlled assessments, coursework and examinations or malpractice in the conduct of the examinations/assessments and/or the handling of assessment papers, candidate scripts, mark sheets, cumulative assessment records, results and certifications claim forms etc. For example:

- failing to ensure that candidates' coursework or work to be completed under controlled conditions is adequately monitored and supervised
- under-qualified or non-qualified or unauthorised members of staff assessing candidates for access arrangements
- failure to use current assignments for assessments
- failure to train invigilators adequately
- failing to issue to candidates the appropriate notices and warnings
- failing to post notices relating to the assessment in all rooms where assessments are held
- not ensuring that the assessment venue conforms to awarding body requirements
- the introduction of unauthorised material into the assessment room, either during or prior to the examination
- failing to ensure that mobile phones/other electronic devices are placed outside the assessment room and 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 assessment starting
- failure to invigilate in accordance with Ascentis Instructions for Invigilators
- failure to keep accurate records in relation to very late arrivals
- failure to keep accurate and up to date records in respect of access arrangements
- granting access arrangements to candidates which do not meet the requirements of the Ascentis publication on Reasonable Adjustments and Special Consideration
- granting access arrangements to candidates where prior approval if required has not been obtained from Ascentis and/or EDAS
- failure to supervise effectively the printing of computer-based assignments when this is required;
- failing to retain candidates' controlled assessments or coursework in secure conditions ☒
- failing to maintain the security of candidate scripts prior to despatch to Ascentis or moderator
- failing to despatch candidate scripts / controlled assessments / coursework to Ascentis or moderators in a timely way
- failing to report an instance of suspected malpractice to the appropriate awarding body as soon as possible after such an instance occurs or is discovered
- failure to maintain appropriate auditable records e.g. certification claims and / or forgery of evidence
- failing to conduct a thorough investigation into suspected assessment malpractice when asked to do so by Ascentis
- failing to use the current Ascentis qualification specification
- the inappropriate retention or destruction of certificates
- persistent failure to adhere to learner registration and certification procedures.
- persistent failure to adhere to centre recognition and/or qualification requirements and/or associated actions assigned to the centre
- late learner registrations (both infrequent and persistent)
- unreasonable delays in responding to requests and/or communications from Ascentis

- inaccurate claim for certificates
- misuse of the Ascentis logo or misrepresentation of a centre's relationship with Ascentis and / or its recognition and approval status with Ascentis
- withholding of information, by deliberate act or omission, which is required to assure Ascentis of the centre's ability to deliver qualifications appropriately
- avoidable delay
- mistakes arising from inattention
- faulty procedures
- failure to follow correct procedures
- poor record keeping
- inadvertent failure to take action
- poor communication
- inadvertently giving misleading or inadequate information

The categories listed below are examples of EDAS and learner malpractice, these examples are intended as guidance on the definition of malpractice and are not exhaustive:

### **Examples of Malpractice by EDAS**

- denial of access to premises, records, information, learners and staff to any authorised Ascentis representative and/or the regulatory authorities
- failure to carry out internal assessment, internal moderation or internal verification in accordance with Ascentis' requirements
- deliberate failure to adhere to learner registration and certification procedures
- deliberate failure to continually adhere to centre recognition and/or qualification approval requirements or actions assigned to EDAS
- deliberate failure to maintain appropriate auditable records, e.g. certification claims and/or forgery of evidence
- fraudulent claim for certificates
- the unauthorised use of inappropriate materials / equipment in assessment settings (e.g. mobile phones, smart watches and all electronic devices)
- intentional withholding of information which is critical to maintaining the rigour of quality assurance and standards of qualifications
- deliberate misuse of Ascentis' logo and trademarks or misrepresentation of EDAS's relationship with Ascentis and/or its recognition and approval status with Ascentis
- permitting collusion in exams/assessments
- learners still working towards qualification after certification claims have been made
- persistent instances of maladministration within the centre
- deliberate contravention by a centre and/or its learners of the assessment arrangements specified for the qualifications
- a loss, theft of, or a breach of confidentiality in, any assessment materials
- plagiarism by learners/staff
- unauthorised amendment, copying or distributing of assessment papers/materials
- inappropriate assistance to learners by centre staff (e.g. unfairly helping them to pass a unit or qualification)
- attempting intentionally to manipulate a result so that it does not reflect the learner's actual performance in an assessment
- deliberate submission of false information to gain a qualification or unit

- deliberate failure to adhere to, or to circumnavigate, the requirements of our reasonable adjustments and special considerations policy
- false id used at the registration stage
- impersonation of a learner for an assessment
- creation of false records
- cash for certificates (e.g. the selling of certificates for cash)
- selling papers/assessment details
- revealing the questions on an assessment in advance (where confidentiality is required)
- sharing confidential assessment materials ahead of an exam/assessment
- producing a forged certificate, which does not reflect the learner's actual performance in an assessment
- EDAS staff providing learners with answers, providing assistance to learners beyond what is permitted, or deliberately failing to apply the mark scheme to a learners answer
- falsifying results

### Examples of Malpractice by Learners

- the alteration or falsification of any results document, including certificates
- a breach of the instructions or advice of an invigilator, examiner, or Ascentis in relation to the assessment rules and regulations
- failing to abide by the conditions of supervision designed to maintain the security of the assessments
- collusion: working collaboratively with other candidates, beyond what is permitted
- copying from another candidate (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 assessment
- the deliberate destruction of another candidate's work
- disruptive behaviour in the assessment 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
- the misuse, or the attempted misuse, of assessment materials and resources (e.g. exemplar materials)
- being in possession of confidential material in advance of the assessment
- bringing into the assessment room notes in the wrong format (where notes are permitted in examinations) or inappropriately annotated texts (in open book examinations)

**Version 2**

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