

## Centre Malpractice and Maladministration Policy and Procedures

The purpose of the Centre Malpractice and Maladministration Policy is to provide schools, colleges and other third parties (collectively known as centres) with details of the centre malpractice and maladministration processes for all The London Institute of Banking & Finance (including school-taught Financial Capability (FC)) qualifications. The policy sets out definitions for and examples of centre malpractice and maladministration; the procedures for reporting cases of suspected malpractice and / or maladministration; possible sanctions that may be imposed by The London Institute of Banking & Finance in cases of malpractice and / or maladministration and the monitoring and evaluation procedures.

In order to assess students fairly, we ensure that:<sup>1</sup>

- Centres<sup>2</sup> understand the impact of centre malpractice and maladministration and take responsibility for preventing it from occurring and reporting it when it has or is suspected to have occurred.
- All suspected cases of malpractice and maladministration are investigated and appropriate actions taken, including applying sanctions where appropriate.

### Summary of policy

For the purpose of this document 'centre malpractice' (as opposed to student malpractice, which is covered by the [Student Malpractice Policy and Procedures](#)) is defined as:

Any deliberate act or failure to act, on the part of an individual or individuals working for or on behalf of a centre, that compromises the integrity of the regulated qualification academic process, the validity of our qualifications and their certification or the reputation or credibility of the awarding organisation or the qualification.

'Maladministration' is defined as:

Any act, or failure to act, whether deliberate or not, which results in the centre not complying with the specified requirements for delivery of the units and qualifications. This includes lack of

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<sup>1</sup> Ofqual, *General Conditions of Recognition*, A8.

<sup>2</sup> Centres are organisations who are involved with any part of the delivery of qualifications on behalf of The London Institute of Banking & Finance. Centres may be schools, colleges or any other venue where the delivery of learning, including teaching and / or assessments, leading to a The London Institute of Banking & Finance qualification is conducted.

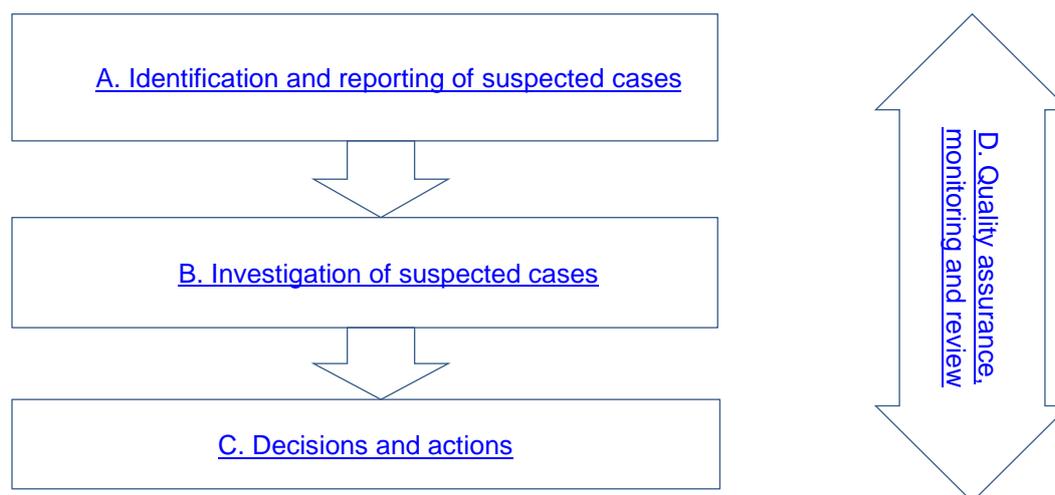
care, judgement or honesty when administering or managing processes related to the delivery of units and qualifications.

In practice, some acts may be considered as potentially either malpractice or maladministration, particularly where it is unknown whether the act has been deliberate. The main areas of potential centre malpractice and maladministration relate to:

- Security of assessment materials;
- Originality of student work;
- Inadequate supervision during assessment;
- Access to unauthorised materials, equipment or support during assessment; and
- Failure to act on or convey appropriately to students any key information published relating to the qualification.

A more detailed list is provided as Appendix 1.

The key stages within the Centre Malpractice and Maladministration Policy are set out in the diagram below:



## Section A – Identification and reporting of suspected cases

### 1. Making a report

- 1.1 Suspected or known cases of maladministration or centre malpractice may be identified by invigilators, teachers, tutors, students and other centre staff, and may also be reported by an independent party or an individual who wishes to remain anonymous. It may also be identified by our staff.
- 1.2 Suspected malpractice or maladministration must be reported as soon as possible to us (see contact details below in 2.1). The incident should also be reported internally according to the centre’s internal policies and

procedures. We respond to all suspected malpractice and maladministration incidents quickly and centres are kept informed of progress.

1.3 In cases of suspected malpractice by assessment centre invigilators, teachers, tutors and other officers, and any reporting of malpractice by an independent party or individual who wishes to remain anonymous, we will take all reasonable steps to authenticate the reported information and to investigate the alleged malpractice. The report made to us should include as much information as possible, including the following where obtainable:

- the assessment venue name and location;
- the date and title of the assessment, if known;
- the time the assessment took place, if known;
- the student's name and LIBF number, if applicable;
- the name(s) of the assessment centre invigilators, teachers / tutors and any other officers concerned;
- a description of the suspected malpractice; and
- any available supporting evidence.

1.4 We acknowledge that if a member of staff at a centre informs us of suspected maladministration at their centre they may wish to remain anonymous. As such we will work to ensure anonymity of the individual reporting the issue to us if requested to do so.

## 2. Contact details

2.1 Any case of suspected malpractice should be reported in the first instance to the relevant team by telephone or email:

**Financial Capability Services team for Financial Capability Qualifications**

T: +44 (0)1227 828234

E: [fcexams@libf.ac.uk](mailto:fcexams@libf.ac.uk)

or

**Customer and Student Enquiries for Corporate and Professional Qualifications**

T: +44 (0)1227 818609 (Option 1)

E: [customerservices@libf.ac.uk](mailto:customerservices@libf.ac.uk)

2.2 A written account should then be sent to the team identified in 2.1, at the following address:

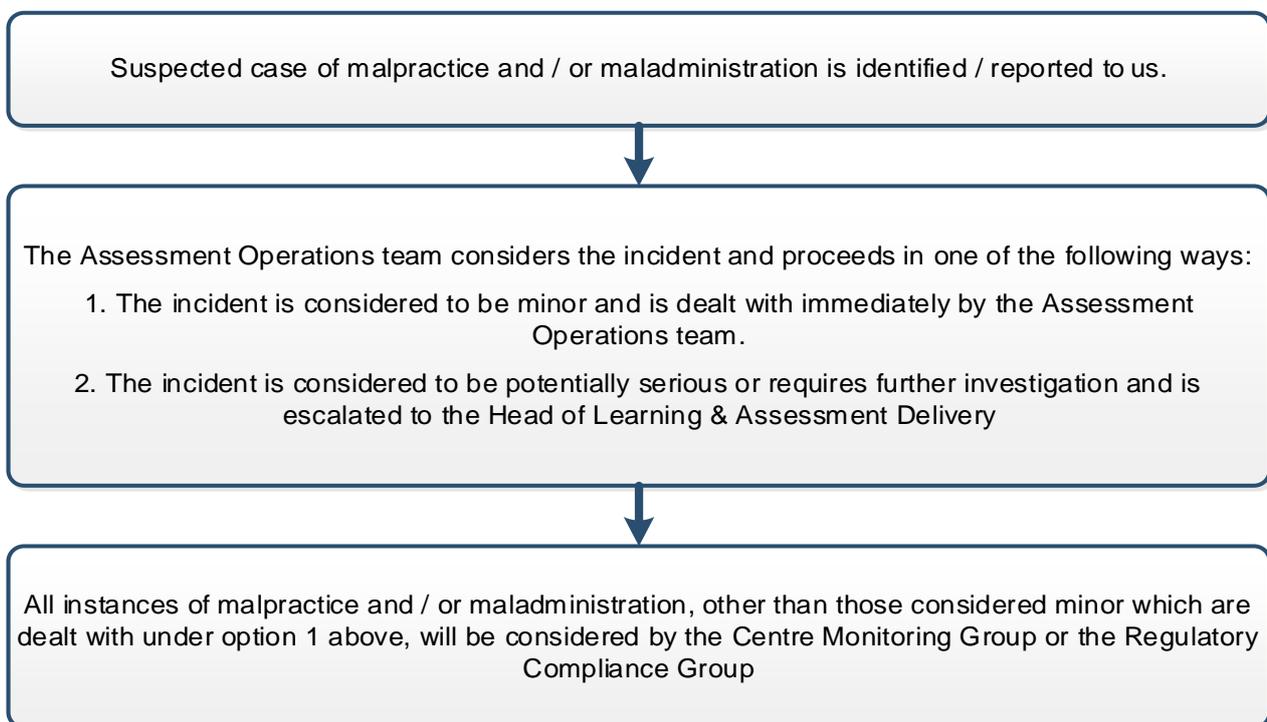
**Administrative Centre:**

4–9 Burgate Lane  
Canterbury  
Kent CT1 2XJ  
United Kingdom

## Section B – Investigation of suspected cases

### 3. Investigation process

- 3.1 We will investigate each case of suspected or reported malpractice to ascertain whether malpractice and / or maladministration has occurred. The process for centre malpractice and maladministration investigations is as follows:



- 3.2 We will acknowledge all cases of suspected centre malpractice and maladministration within five working days, excluding UK public holidays. Those involved in the case will then be contacted by us, within 10 working days of receipt of the report detailing the suspected malpractice. We may also contact other individuals who may be able to provide evidence relevant to the case. If a centre fails to comply with our requests for information when investigating a potential case of maladministration then this in itself may constitute maladministration.
- 3.3 Depending on the nature of the issue and how the issue has been reported to us we may initially ask the centre to undertake its own investigation themselves and provide us with the outcome of this investigation.
- 3.4 Where necessary we may visit the centre in order to undertake an investigation or gather further information.

3.5 We will promptly take all reasonable steps to prevent any Adverse Effect that may arise as a result of the incident, or to mitigate any Adverse Effect, as far as possible, ensuring that any action will be taken which is necessary to maintain the integrity of the qualification. The regulators (Ofqual, Qualifications Wales and CCEA) explain that 'An act, omission, event, incident, or circumstance will have an Adverse Effect if it:

(A) gives rise to prejudice to Learners or potential Learners, or

(B) adversely affects:

- i. the ability of the awarding organisation to undertake the development, delivery or award of qualifications in accordance with the Conditions of Recognition
- ii. the standards of qualifications which the awarding organisation makes available or proposes to make available, or
- iii. public confidence in qualifications'.<sup>3</sup>

3.6 In order to avoid any perceived or actual conflicts of interest any individual with a personal interest in the outcome will not be permitted to undertake an investigation of a suspected case.

## Section C – Decisions and actions

### 4. Possible decisions

4.1 Once information on the incident has been gathered the case will be presented to either the Centre Monitoring Group (for Financial Capability qualifications) or the Regulatory Compliance Group (for Professional Education qualifications). The relevant Group will consider the information and may impose one of the following outcomes:

- no evidence of centre malpractice or maladministration;
- evidence of centre malpractice or maladministration that is minor, has no real consequences, is isolated or has already been resolved to prevent further re-occurrence. Further guidance may be provided to the centre but no sanctions are required; and
- evidence of centre malpractice or maladministration and actions and / or sanctions is required.

### 5. Possible malpractice and maladministration actions and sanctions

5.1 This list is not exhaustive and other actions may be taken or sanctions applied on a case-by-case basis. We are required by the regulator to ensure that sanctions are issued where appropriate in order to mitigate the problem / issue of non-compliance from re-occurring. Such actions / sanctions might be:

- Providing the centre with further guidance on how to avoid maladministration by following the delivery requirements.

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<sup>3</sup> Ofqual, General Conditions of Recognition

- Requiring that the centre brings itself back into compliance with our policies or compliance with regulators' General Conditions of Recognition.
- Issuing a written warning about future conduct.
- Notifying the centre of special conditions imposed for the future involvement of an individual employed as a teacher, invigilator, internal assessors or other officers in the conduct, supervision or administration of our assessments.
- Notifying the centre that the individual(s) is / are suspended from any involvement with our assessments for a period of time and / or until retrained in the correct procedures and requirements, and / or supervised by a trained person, to our satisfaction.
- Notifying the centre that the individual(s) is / are not permitted to have any future involvement with our assessment at all.
- Revoking results. Whilst a case of maladministration by a centre may not be the fault of individual students, if the maladministration has resulted in the assessment submitted not being an accurate reflection of the efforts of the individual candidates it may not be possible to allow those marks to stand.
- Refusing to permit further assessments to take place at the centre venue.
- Refusing to accept examination entries from a centre where malpractice or maladministration has been established.
- Suspending and / or terminating centre recognition, approval, contract or other arrangements, either subject to specified conditions or unconditionally.
- Notifying other awarding organisations that special conditions and sanctions have been imposed on a centre.

5.2 In cases where malpractice and / or maladministration has been proven and has an impact on certification or 'licence to practise' in a regulated area, we may inform the relevant regulator(s), other awarding organisations and other relevant authorities as appropriate. This may include informing the police if the law has been broken.

5.3 The centre has a right to appeal against a malpractice or maladministration outcome reached by us if it believes that the policy or procedure have not been followed properly or have been implemented to its detriment. However, sanctions may be applied immediately following an investigation into malpractice and / or maladministration but before an appeal by the centre is made. Appeals should be made in accordance with the [Appeals Policy and Procedures](#).

5.4 We will, upon request, provide guidance to a centre on how best to prevent and deal with malpractice and how to assist us in investigating suspected incidents of malpractice and / or maladministration.

## **Section D – Monitoring and evaluating the Centre Malpractice and Maladministration Policy**

- 6.1 Records of all issues or potential issues raised relating to centre malpractice and maladministration are maintained by for a period of at least five years.
- 6.2 The policy is subject to regular monitoring and review in order to maintain the highest possible standards of consistency and quality.
- 6.3 The policy is formally approved by the Centre Monitoring Group and Regulatory Compliance Group.
- 6.4 The policy has been developed to comply with all relevant legislation, the Ofqual, Qualifications Wales and CCEA General Conditions of Recognition and other relevant regulatory guidance.
- 6.5 We are subject to regulation by the qualifications regulatory authorities, Ofqual, Qualifications Wales and CCEA.

## **Appendix 1 – Possible activities that could be considered to be centre malpractice and maladministration**

### **Centre Malpractice**

Examples of malpractice in centres by assessment invigilators, teachers, tutors and other officers are listed below.

These examples are not exhaustive and all incidents of suspected malpractice, whether or not described below, will be fully investigated by us, where there are sufficient grounds to do so:

- Knowingly allowing an individual to impersonate a student;
- Allowing a student to possess any items or materials that are not permitted in the assessment room;
- Allowing students to communicate by any means during an assessment or examination in breach of regulations;
- Allowing a student to copy another student's work;
- Letting work be copied or allowing students to work collaboratively during an assessment, unless specified in the assignment brief;
- Permitting, facilitating or obtaining unauthorised access to examination material prior to an examination;
- Completing an assessed assignment for a student or providing them with assistance beyond that reasonably expected;
- Allowing a student to work beyond the allotted assessment time without informing us in advance;
- Tampering with student scripts, controlled assessments or coursework after collection and before despatch to the awarding organisation / examiner / moderator;
- Deliberately damaging a student's work;
- Leaving students unsupervised during an assessment;
- Allowing disruptive behaviour or unacceptable conduct at the assessment, for example, aggressive or offensive language or behaviour;
- Divulging any information relating to a student's personal data, assessment performance, or results to anyone other than the student. This includes discussing or otherwise revealing secure information in public, eg Internet and other social media forums;
- Producing, using or allowing the use of forged or falsified documentation, including but not limited to:
  - personal identification;
  - supporting evidence provided for reasonable adjustment or special consideration applications; and
  - results documentation including a certificate;
- Falsely obtaining by any means a certificate either for a unit or qualification;
- Misusing conditions set for special learner requirements;
- Moving the time or date of a fixed examination beyond any pre-arranged conditions without informing us in advance.

## Maladministration

Examples of maladministration in centres by assessment invigilators, teachers, tutors and other officers are listed below. As before, these examples are not exhaustive and all incidents of suspected maladministration, whether or not described below, will be fully investigated by us, where there are sufficient grounds to do so:

- Failure to keep assessment materials, examination question papers and assessment scripts secure, before during or after an assessment;
- Failure to adhere our relevant regulations and procedures, including centre approval, security undertaking and monitoring requirements;
- Failure to keep abreast of dates, deadlines and qualification rules issued to centres on an annual basis in the staff qualification handbooks;
- Failure to make sure of the security of e-assessment examinations in line with our regulations and procedures;
- Failure to implement procedures to verify students' identity;
- Failure to adequately supervise students who have been affected by a timetable variation;
- Failure to use current learning materials for assessments;
- Failure to train invigilators adequately;
- Failure to issue to students the appropriate notices and warnings;
- Failure to post notices relating to the examination or assessment outside all rooms where examinations and assessments are held;
- Failure to ensure that the examination venue conforms to our requirements;
- Allowing the introduction of unauthorised material into the examination room, either during or prior to the examination;
- Failure to remind students that any mobile phones or other unauthorised items found in their possession must be handed to the invigilator prior to the examination starting;
- Failure to invigilate assessments in accordance with our requirements;
- Allowing tutors to invigilate their own students or failing to communicate that this is not permitted;
- Failure to keep accurate records in relation to late arrivals;
- Failure to keep students' controlled assessments or coursework in secure conditions after the authentication statements have been signed or the work has been marked;
- Failure to maintain the security of student scripts prior to despatch to us or examiners;
- Failure to despatch student scripts / controlled assessments / coursework to us, examiners or moderators in a timely way.