



# Preventing Malpractice in **Examinations and Assessments**

Guidance for Invigilators

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# 1 Introduction

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This document provides guidance for anyone invigilating CCEA qualifications. It will support you in understanding what malpractice is and help you to stay within the rules for invigilating exams. Please read it carefully.

As the invigilator you are the person in the examination room responsible for conducting a particular examination session in the presence of the candidates. You have a key role in upholding the integrity of the external examination/assessment process.

The Joint Council for Qualifications (JCQ) provide a range of advice and guidance in their:

- **Instructions for Conducting Examinations**  
(Chapter 12 specifically relates to the invigilation arrangements.)
- **Suspected malpractice in examinations and assessments Policies and Procedures**
- **Adjustments for candidates with disabilities and learning difficulties Access Arrangements and Reasonable Adjustments.**

These are available at [www.jcq.org.uk](http://www.jcq.org.uk) and will be provided by your centre.

JCQ regulations state that invigilators must be familiar with JCQ's **Instructions for Conducting Examinations**, the **Warning to Candidates, Information for Candidates** and **Unauthorised Items** posters, and any specific instructions relating to the subjects being examined.



## 2 What is malpractice?

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JCQ define malpractice as any act, default or practice which is in breach of CCEA and/or regulatory requirements which:

- gives rise to prejudice to candidates; and/or
- compromises public confidence in qualifications; and/or
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate; and/or
- damages the authority, reputation or credibility of any awarding body or school or officer, employee or agent of any awarding body or school.



### Centre staff malpractice

'Centre staff malpractice' means malpractice committed by:

- a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
- an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, an Oral Language Modifier, a practical assistant, a prompter, a reader or a scribe.

Invigilator malpractice therefore is any action you may take that gives rise to prejudice to candidates and/or compromises public confidence in qualifications and/or could call into question the integrity or authenticity of the examination you are invigilating.

Examples of invigilators malpractice includes:

- failure to display the start and finish times for each examination taking place;
- failure to have your mobile phone silent in the examination room;
- failure to give candidates the correct length of time for their examination; and
- failure to give candidates the correct paper.
- disturbing or disrupting candidates during an examination (other than in the normal course of your duties).

All allegations of malpractice or suspected malpractice must be reported to CCEA and investigated by your employing school/ college to ensure the integrity and authenticity of the assessment.

Failure by a centre to notify, investigate and report to CCEA all allegations of malpractice or suspected malpractice constitutes malpractice in itself.



Malpractice can happen during any examination. This includes while you are:

- arranging the examination room;
- before the examination;
- during the examination; and
- after the examination;



## 3 How can the invigilator avoid committing malpractice?

Make sure that you have been given a copy of the publication **Checklist for Invigilators** (for written examinations). This checklist summarises the most essential actions for invigilating written examinations, some of which have been covered on the previous pages. This checklist must be issued to you as part of your preparation and training.

As an invigilator you must also be familiar with the JCQ publication **Instructions for conducting examinations** in advance of the examinations and have a hard copy available to you during the examination.

You should have been provided with appropriate training and the record of the content of the training must be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Make sure you are familiar with the JCQ **Unauthorised items** poster.



### Your duties as invigilator

#### 3.1 Arranging the designated examination room

The centre must ensure that there is adequate time allowed for the set up and clearing of the room before and after the scheduled examination time, throughout which period the room is 'designated' and cannot be used for any other activity.

A room becomes a 'designated examination room' as soon as exams office staff begin to check and prepare it to ensure compliance with **section 11** of the JCQ publication **Instructions for conducting examinations**.

As soon as preparation for the examination begins, no other activity can take place in that room. Candidates sitting examinations **must not** be allowed into the room until the preparation is complete and they are invited to enter the room, under supervised conditions, to start their examination.

The room remains a 'designated examination room' until all candidates have left and all materials such as candidates' scripts, question papers and resource materials have been removed from the room.

1	Check that any charts, diagrams etc. have been cleared from the walls.
2	Check that you have the following on display: <ul style="list-style-type: none"> <li>• an analogue or digital clock that all candidates can see clearly;</li> <li>• a board/display showing the centre number, subject title, paper number and the actual starting and finishing time and date of the examination(s).</li> </ul>



3	<p>Check that you have:</p> <ul style="list-style-type: none"> <li>• for the main examination room a printed paper copy or an electronic copy, accessible via a laptop or tablet, of the <b>JCQ Instructions for conducting examinations</b>;</li> <li>• any subject-specific instructions and/or stationery lists issued by CCEA;</li> <li>• a seating plan of the examination, indicating where any candidates with access arrangements are seated.</li> </ul>
4	Check that your mobile phone (to be used in emergencies only) is on silent mode.

### 3.2 Before the examination

1	To avoid potential breaches of security care must be taken to ensure the correct question paper packets are opened. An additional member of centre staff, who may be you, as an invigilator, must check the day, date, time, subject, unit/component and tier of entry, immediately before a question paper is opened. Make sure you are aware what the regulations state about access to the centre's secure storage facility, the secure storage of papers, the times when papers may be opened and by whom. Inform the Head of Centre if you are suspicious of the security of the examination papers.
2	Make sure you know, in advance, by checking with the Exams Officer which candidates, if any, have been granted access arrangements. Ensure you understand the nature and delivery of the arrangement(s) and that you are aware of any materials the candidate is allowed access to, for example a modified enlarged question paper.
3	Check the front of the question paper for the exact requirements for authorised materials, particularly calculators, dictionaries, anthologies and set texts.
4	Tell candidates that they must now follow the regulations of the examination. You must always ask candidates to check that they have been given the correct paper with the day, date, time, subject, unit/component and tier of entry.
5	Warn candidates that they <b>must</b> give you any unauthorised materials. <b>This includes potential technological/web enabled sources of information such as iPods, mobile phones, MP3/4 players, all watches.</b>
6	Tell candidates that if they have a watch, they must hand it to an invigilator now.
7	Tell candidates to: <ul style="list-style-type: none"> <li>• fill in the details on the front of the answer booklet and any supplementary sheets, e.g. candidate number and centre number; in black ink;</li> <li>• read the instructions on the front of the question paper.</li> </ul>
8	Tell candidates about any erratum notices.
9	Tell candidates when they may begin and how much time they have.
10	Make sure that you are aware who should be present in the room as only those senior members of staff authorised by the head of centre may be present at the start of the examination. A teacher with specialisms in the subject area being examined or the teacher who prepared the candidates for the examination must not be permitted into the examination hall, once the question papers have been opened.



### 3.3 During the examination

1	Complete the attendance register - <b>see section 22</b> of the <b>Instructions for conducting examinations</b> . Make sure you know the identity of every candidate in the examination room. Check the documentary evidence from private candidates or transferred candidates. You <b>must</b> ensure that they are the same people who were entered/registered for the examination/assessment.
2	<b>See section 21</b> of the <b>Instructions for conducting examinations</b> if a candidate arrives late.
3	Be vigilant.  Supervise the candidates at all times to prevent cheating and distractions. You must not carry out any other task (for example, reading a book or marking) in the examination room.  Give all your attention to conducting the examination properly, making sure you are able to observe each candidate in the examination room at all times.  Watch out for candidates who may attempt to bring in notes, study guides and essay plans, or who may bring in permitted annotations or notes in the wrong format.
4	Do not give any information to candidates about: <ul style="list-style-type: none"> <li>• suspected mistakes in the question paper unless an erratum notice has been issued or permission has been given by the awarding body;</li> <li>• any question on the paper or the requirements for answering particular questions.</li> </ul>
5	<b>See section 23</b> of the <b>Instructions for conducting examinations</b> as to when a candidate may leave the examination room.
6	Make sure that a question paper is not removed from the examination room during the examination.
7	Make sure that an appropriate member of staff is available to accompany any candidates who need to leave the room temporarily.
8	In an emergency <b>see section 25</b> of the <b>Instructions for conducting examinations</b> and your centre's emergency evacuation procedure.
9	Keep a record of any incidents which arise during the examination.
10	Tell candidates to stop working at the end of the examination.

### 3.4 After the examination

Check and sign the attendance register.

Tell candidates to check that they have:

- placed any loose additional answer sheets inside the answer booklet.

Collect all scripts, question papers and any other material **before** candidates leave the examination room.



Live examination question papers must be sealed and securely returned to the store. Under no circumstances should an invigilator permit a teacher access to an examination paper, even after an examination.

Arrange scripts in the order candidates appear on the attendance register.

Make sure that scripts are **stored securely** before being sent to CCEA.



## 4 What happens if the invigilator is suspected of malpractice?

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Where the Head of Centre delegates responsibility for the investigation, he/she retains overall responsibility for the process.

The Head of Centre or a senior staff member carrying out the investigation will be required to complete a conflict of interest declaration for submission with the investigation documentation.

As an invigilator you may be asked to make a statement in relation to a staff or candidate malpractice case or provide evidence for a centre investigation. Failure to co-operate with an investigation is in itself malpractice.

Any individual accused of alleged malpractice must be made aware of the detail of the allegation and his/her rights within the process. He/she will be made aware of any evidence to support the allegation and the information your centre/the investigator will be submitting in your case. He/she must have the opportunity to respond and provide a statement and can make an additional statement after he/she has reviewed the investigation findings for submission.

Where special situations have arisen that may have influenced the circumstances for malpractice for either a candidate or a staff member, this information should be provided to the Head of Centre, who will determine if this is relevant to be submitted to CCEA as mitigation.

Should you find yourself the focus of an allegation of malpractice, you will be advised of the process by those investigating and the guidance above applies. If you find yourself in this situation, make yourself aware of the JCQ **Suspected Malpractice: Policies and Procedures**.

You will be interviewed by your employing school/college and asked to provide a signed written statement that will be sent to CCEA. Statements will also be taken from any witnesses, such as other invigilators, students and relevant school staff.

Other evidence will be gathered appropriate to the category of malpractice.

Where exceptional circumstances may have influenced the reason for malpractice, you should tell your school/college.

A report of the school/college's investigation, along with all the supporting evidence, will be sent to CCEA for consideration and action in line with JCQ procedures. CCEA will inform your Head of Centre of any penalties to be applied to you, and he/she will tell you and support you should this happen.

Sanctions may be imposed upon: the centre, candidate, invigilators and school staff. Should a malpractice sanction be imposed upon you following an investigation, you will have the opportunity to appeal in line with the **JCQ Appeals Procedure**.



## 5 What happens if malpractice is found to have been committed?

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Once a decision has been made, it will be communicated in writing to your Head of Centre as soon as possible.

It is the responsibility of the Head of Centre to communicate the decision to you as the individual concerned and to pass on details of any sanctions/penalties and action in cases where this is indicated.

The majority of malpractice cases are confidential between the centre, you as the individual who engaged in the malpractice and the awarding body.

However, in cases of serious malpractice, where the threat to the integrity of the examination or assessment is such as to outweigh a duty of confidentiality, it will normally be necessary for information to be exchanged amongst:

- the regulators;
- other awarding bodies; and
- other centres where the malpractice may affect the delivery of an awarding body's qualification.

In accordance with the requirements of the General Conditions of Recognition, the awarding body will report cases of centre staff malpractice to the regulators if the circumstances of the case are likely to meet the definition of an Adverse Effect as defined in Condition B3.2 of the **General Conditions of Recognition**.

This will include details of the action taken by the Head of Centre, the governing body or the responsible employer. Other awarding bodies and other appropriate authorities will also be informed.

In serious cases of centre staff malpractice, the awarding bodies reserve the right to share information with professional bodies.

It is the responsibility of the Head of Centre to inform the accused individual that the awarding body may share information with other centres and other awarding bodies.

If the penalty imposed contains a suspension you are responsible for informing the awarding body when you will be resuming your duties.



## 6 Appeals

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When a malpractice penalty is imposed on you following an investigation, you will have the opportunity to appeal in line with the JCQ **Appeals** procedure.

You or your Head of Centre may appeal if a sanction is imposed on you as a result of malpractice. This decision will be based on your school/college's internal policies.

## 7 Useful links

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You will find all JCQ guidance relevant to your responsibilities in your centre at:

[www.jcq.org.uk/exams-office](http://www.jcq.org.uk/exams-office)

## 8 Contact information

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If you have any concerns in relation to malpractice, you should speak to your Head of Centre in the first instance. For other queries or matters relating to malpractice which are not addressed by your Head of Centre or in JCQ procedures, please contact [malpractice@ccea.org.uk](mailto:malpractice@ccea.org.uk)



