



Malpractice Policy (Awarding Body – City and Guilds)

Version 1

Approved by the Board of Governors

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This policy applies to all learners on Diploma in Education and Training. It also applies to all employees that have a teaching, learning or assessment role or are involved in the associated supporting services, such as learning support and examination administration.

This policy has been developed with due regard for the UK Quality Code for Higher Education the Office of the Independent Adjudicator (OIA), Education Inspection Framework (EIF), Ofqual's General Condition of Recognition and Centre Assessment Standard Strategy (CASS). It should be read in conjunction with City and Guilds handbook and or qualification assessment documentation.

This policy has been developed with reference to the LSST policies and procedures, to ensure consistent and accurate application of Academic policy procedures on all London School of Science and Technology campuses teaching learners.

The procedures outlined herein are separate from those that deal with instances of non-academic malpractice, which can be read in the School's *Learner Code of Conduct and Disciplinary Procedures*.



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1. Introduction

1.1. The aims of this policy are indicated below:

- To ensure that learners and employees are aware of what constitutes malpractice and maladministration and the procedures that will be implemented in suspected cases.
- To protect the integrity of qualifications being delivered within the School and as such the reputation of LSST.
- To ensure that principles of equity and fairness are followed in dealing with any allegations of malpractice.
- To comply with the external regulations of the Joint Council for Qualifications (JCQ) and City and Guilds.

1.2. The School expects its staff and learners to act with integrity when undertaking or facilitating formative assessments; academic integrity means honesty and responsibility in scholarship and embodies values such as avoidance of cheating or plagiarism, maintenance of academic standards, and honesty and rigor in research. Therefore, all work submitted by a learner should be a true and accurate representation of their own abilities and efforts.

1.3. This policy sets out the procedures to be followed where malpractice is suspected or identified in any formative assessment.

1.4. The School understands the consequences that allegations of malpractice can have on a learner or staff member's academic or professional standing, as well as their personal reputation. The School will therefore ensure that it has robust, fair and reliable procedures for determining if malpractice has occurred and will conduct its investigations confidentially; no acknowledgement of an investigation will be made to anyone not directly involved whilst that investigation is ongoing.

2. Scope

2.1. This policy applies to all learners enrolled on the City and Guilds Diploma in Education and Training course taught at a London School of Science and Technology Campus and is aligned with the 'Suspected Malpractice in Examinations and Assessments: Policies and Procedures', document published by the Joint Council for Qualifications (JCQ), of which City & Guilds is a member.

2.2. This policy applies to all academic staff teaching at the London School of Science and Technology campuses, who have a duty to uphold and



- promote academic integrity.
- 2.3. This policy and its procedures apply to all internal assessments and examinations provided by City and Guilds and/or the London School of Science and Technology.
 - 2.4. For learners on programmes approved by City and Guilds, Partner Tutors, any members of academic staff and/or staff (such as an exam invigilator), or an external source marking learner work who suspect a case of alleged malpractice should in the first instances contact registry@lsst.ac for advice as to the formal procedures and regulations. If you are a learner intending to raise a concern in relation to academic integrity regarding another learner, likewise contact registry@lsst.ac.
 - 2.5. **NB:** *No reference should be made in public about the allegation, nor should the learner(s) in question be notified except as part of the formal process using the approved form of wording.* Anyone who is unsure on the correct procedure to be followed should contact the Registry Department: registry@lsst.ac
 - 2.6. Course Leaders have a duty to ensure that any new teaching staff are introduced to this policy on induction and are confident in promoting academic integrity in their workplace.
 - 2.7. Lecturers, tutors, and quality assurance staff markers must adhere to this policy and its associated procedures in full.
 - 2.8. All academic staff must demonstrate academic integrity and be exemplars in their field by following academic referencing practices and using the tools and technology to detect and deter breaches of integrity.
 - 2.9. Learners should be introduced to this policy during the induction period and reminded of the policy during preparation for assessments. Learners should also be briefed on the correct form for referencing the work of others in their own submissions. The School uses the Harvard system of referencing and will provide learners with comprehensive guidance on how to include proper citation and compile reference lists. It is the learner's responsibility to act accordingly to the policy and to seek advice and guidance if they are uncertain.
 - 2.10. Learners should be warned about the possible consequences of violating this policy on both their academic and professional careers and prospects.
 - 2.11. Learners may use the School's Learner Complaints Policy to make a complaint about the extent to which the School has promoted academic integrity. This complaint will be examined separately into any academic misconduct investigation.
 - 2.12. The learner's grade or result will be withheld while the investigation is ongoing.



3. Academic Integrity

- 3.1. The School has a responsibility to ensure that all learners are aware of the consequences of malpractice and have been granted a fair opportunity to learn the importance of academic integrity, both within their studies and for their future employment. The principles of academic integrity will be taught during scheduled inductions, and be readily available in programme handbooks and assessment briefs.
- 3.2. Turnitin software will be used to recognise cases of academic misconduct and teaching staff will be trained on how to use the software effectively and fairly when assessing learners' work.

4. Responsibilities

4.1. Registry

The Registrar is responsible for the review and management of this policy. Registry and Course Leaders are responsible for ensuring this policy is adhered to and applied consistently across all London School of Science and Technology campuses.

4.2. Staff Responsibilities

Course Leaders, Module Leaders and Course Coordinators will have overall responsibility for championing the promotion and maintenance of academic integrity.

4.3. Learner Responsibilities

In completing and submitting work, learners have a responsibility to ensure that:

- i. The work they have produced is their own and has not been written by anyone else. Submitting work copied from or jointly written with others is not acceptable, except assessments which explicitly require collaboration.
 - ii. They have properly and appropriately acknowledged any original sources used when mentioning another's work in their assessment. This must be done by following the School's Harvard Referencing system.
 - iii. The work they produce accurately reflects their understanding of the data and information they have sourced or acquired through research, which has been ethically conducted.
- 4.4. The School will signpost where resources and information on maintaining academic integrity can be accessed. However, it is always the sole responsibility of the learner to act honestly and transparently in a way that is consistent with this policy and to seek advice and guidance if they are unclear.



5. Definitions

- 5.1. In accordance with City and Guilds' definitions, LSST employs the following terms and their meanings:
- 5.2. **Malpractice** - 'Malpractice' refers to any action, default, or practice that breaches the Regulations and:
 - i. Causes prejudice to learners; and/or Undermines public confidence in qualifications; and/or
 - ii. Compromises, attempts to compromise, or potentially compromises the assessment process, the integrity of any qualification, or the validity of a result or certificate; and/or
 - iii. Damages the authority, reputation, or credibility of any awarding organization, center, or any officer, employee, or agent of such organizations or centers.
- 5.3. Malpractice encompasses maladministration and instances of non-compliance with regulations and requirements.
- 5.4. **Maladministration** - 'Maladministration' is defined as any activity, practice, or omission leading to a center's or learner's non-compliance with administrative regulations and requirements. Examples include persistent errors or poor administration within a center that result in the failure to maintain appropriate learner assessment records.
- 5.5. **Plagiarism** - City & Guilds defines 'plagiarism' as the act of a learner authenticating and/or submitting any work for assessment that is attributable to another identifiable person or source. This includes any portion of work copied from published sources, the internet, or other references without proper citation. Plagiarism is further elaborated by the Joint Council for Qualifications' definition as "unacknowledged copying from or reproduction of published sources or incomplete referencing."
- 5.6. **Use of Generative AI** – Similar to plagiarism, City & Guilds considers the submission of written work for assessment containing AI-generated content that represents substantive aspects of the learner's work to be malpractice. The use of generative AI is not permitted, and if detected, may result in the application of penalties, which could include the disqualification of the learner's work or disqualification from the qualification entirely.
- 5.7. Generative AI applications or software, which may operate in the background or as browser extensions (e.g., Grammarly), must be disabled prior to the commencement of any remotely invigilated examination.
- 5.8. These definitions ensure clarity and maintain the integrity and credibility of our qualifications and assessment processes



6. Examples of malpractice by center staff, and learners

6.1. The following examples of malpractice are not an exhaustive list and as such do not limit the scope of the definition set out in the document.

6.2. **Learner malpractice:**

6.3. ***Breach of examination or assessment rules, regulations and requirements***

Examples of this would include:

- Falsification of assessment evidence or results documentation
- Plagiarism of any nature
- Collusion with others
- False declaration of authenticity in relation to the contents of a portfolio or coursework
- The submission of a piece of work purchased from a third party. For example, from an essay or assignment writing service
- The submission of AI generated text
- Copying from work/notes provided by another learner (including the use of ICT to aid copying)
- Providing access to portfolios/work/notes to other learners for the purpose of giving an unfair advantage
- Deliberate destruction or tampering with a learner's work or assessment records
- Inappropriate or abusive content such as swearing, racist, homophobic, or transphobic remarks
- Theft or usage of another learner's work without their permission
- The removal of secure exam material from the examination room
- Obtaining or attempting to obtain secure examination/assessment material
- Disseminating secure examination/assessment material
- Photographing examination material
- Impersonation, such as sitting an examination in place of another learner, or remotely accessing a learner's computer and completing an examination on behalf of a learner



- Non-compliance with the instructions of an invigilator or remote invigilator/proctor
- Offering a bribe of any kind to an invigilator, a learner, center staff, or City & Guilds staff, or Associate
- Forging another learner's and/or staff signatures
- Presenting a forged/falsified certificate
- Providing inaccurate or deliberately misleading statements as part of a malpractice investigation.

6.4. ***Inappropriate conduct during an examination/assessment session***

Examples of this would include:

- Introduction of unauthorised material or devices into the examination room/assessment session
- Introduction of unauthorised software/applications in remotely invigilated examinations, such as generative AI or remote access software
- Misuse or attempted misuse of examination/assessment material
- Obtaining, receiving, copying from or passing on unauthorised or confidential examination or assessment material
- Disruptive, violent or offensive behaviour
- Disruptive, violent or offensive behaviour prior to the start of a remotely invigilated examination
- Any form of communication with other learners (written, verbal, gestures, expressions, pointing, etc.)
- Entering obscene words or pictures on to an examination paper
- Failure to abide by the instructions of an invigilator or supervisor
- Non-adherence to, or ignorance of the invigilation requirements

7. **Staff Misconduct**

7.1. ***Failure to meet City & Guilds' center and qualification approval requirements***

Examples of this would include:

- Inaccurate or deliberately misleading statements or submissions provided during the center or qualification approval process, or at any time during the assessment process



- Failing to cooperate with investigations or misleading investigators during an investigation
- Failure to respond to reasonable requests for information relating to an investigation
- Failure to provide the staff, resources or systems needed to support assessment, internal quality assurance or certification claims
- Failure to maintain the quality assurance of the center, sub-sites, alternative assessment sites, subcontractors, and satellite centers
- Failure to maintain accurate records relating to learners, assessment or internal quality assurance, or to retain such records for the required period of time
- Failure to provide City & Guilds with access to premises, people or records
- Failure to implement specified remedial actions
- Failure to notify the Head of Centre and/or City & Guilds of suspected malpractice
- Submission of an untrue, misleading or the absence of a declaration of conflict of interest
- Subverting or attempting to subvert investigation activities.

7.2. ***Failure to meet City & Guilds' center and qualification approval requirements***

Examples of this would include:

- The unauthorised obtaining, disseminating, or the facilitating of access to secure examination/assessment material
- Members of center staff undertaking or amending learner answers for any examination on behalf of learner(s)
- Assisting or prompting learners in the production of answers to examination questions or assessment evidence, beyond that which is permitted
- Any action or inaction that allows a learner to have an unfair advantage or causes a learner to be disadvantaged
- Falsification or fabrication of learners' marks, assessment evidence, observation records, certification claims or results documentation and any other records or documentation pertaining to City & Guilds qualifications
- Falsifying the signatures of learners, assessors, or IQA for the purpose of validating or authenticating any record pertaining to City & Guilds qualifications
- Claiming for certificates where there is no or insufficient evidence to support certification
- Manipulating learner/moderation samples for external quality assurance/moderation. The sample should be representative of the standard of



work across the rest of the cohort/qualification

- Failure of a member of center staff to report any instances of malpractice or suspected malpractice as defined in section 2.1 to the appropriate person/team
- Soliciting money from learners in exchange for services whether rendered or not, relating to the assessment or delivery of City & Guilds qualifications
- Offering a bribe of any kind to an invigilator, a member of center staff or City & Guilds
- Submission of investigation reports that are misleading or contain false information that may lead City & Guilds to an incorrect conclusion
- Destruction of evidence related to a malpractice investigation
- The release of embargoed results to learners prior to the scheduled release date.

7.3. ***Failure to meet the requirements for the conduct of examinations or/and assessments***

Examples of this would include:

- The unauthorised obtaining, disseminating, or the facilitating of access to secure examination/assessment material
- Breaches of any secure material, including examination papers or materials and their electronic equivalents
- Centre staff undertaking examinations for qualifications that they are teaching or assessing on
- Retention of material downloaded or produced by a learner during a live assessment
- Unauthorised changes to examination timetables
- Failure to issue learners with appropriate notices and warnings
- Non-adherence to, or ignorance of the invigilation requirements
- Recontextualising examination questions for learners when acting as a reader
- Failure to dispatch scripts no later than the next working day
- Amendment of examination materials without permission
- Failure to provide access arrangements in accordance with City & Guilds' requirements
- Failure to store secure examination materials appropriately at all times
- Failure to effectively and continuously supervise examinations and/or learners.
- Offering a bribe of any kind to any learner, City & Guilds staff, or Associate



8. Detecting Potential Malpractice

- 8.1. Disciplinary action for malpractice can typically only be pursued when a learner has submitted a summative assessment containing malpractice. It is generally not possible to take disciplinary action before the submission. If an academic staff member observes misconduct in work prior to its submission, it is reasonable to expect that the staff member will warn the learner about the consequences of committing malpractice.
- 8.2. The School employs a specialised online application, Turnitin, to detect instances where a learner has submitted work sourced from another without proper citation (plagiarism). Turnitin generates a similarity report that indexes all unoriginal content and identifies its sources. If the similarity index shows that a submission consists of 25% or more unoriginal content, the work will be flagged for further investigation. However, smaller percentages of similarity may also prompt an investigation, particularly in cases involving single excerpts or when a marker has specific concerns.
- 8.3. Staff will receive training on how to accurately interpret Turnitin reports. A flagged report will initiate the School's investigative procedures and will not, by itself, be the basis for automatically assuming academic misconduct.

9. Absence of Documentary Evidence

- 9.1. The School employs the following methods to identify and flag instances where there is a suspicion, but no documentary evidence, that a learner has submitted work authored by someone else:
 - i. Comparing the quality of the learner's current submission with their previous summative submissions, if available;
 - ii. Evaluating the learner's abilities demonstrated in formative (informal) assessment activities and comparing these with the work submitted for summative assessment
- 9.1. It is understood that markers will not have the time to compare every piece of work they mark to a previous assignment or formative assessment submission; markers should use sound judgement and familiarity with their learners' abilities in deciding how and when to investigate an assignment submission.

10. Procedure for Investigating Instances of Malpractice

- 10.1. All allegations or incidents of malpractice, whether actual or suspected, must be reported by the identifier to the IQA, who shall notify the Head of Centre (Head of



Registry & Exams). The Head of Centre (Head of Registry & Exams) shall then report this to the City & Guilds' Investigation & Compliance team, within 10 working days of becoming aware of them and before initiating any internal investigation activities.

- 10.2. The appropriate malpractice notification form along with the checklist must be submitted to the Investigation & Compliance team for review at: to: investigationandcompliance@cityandguilds.com

Appendix 1: Suspected learner malpractice notification form – Confidential

Appendix 4: Suspected centre staff maladministration and malpractice notification form – Confidential

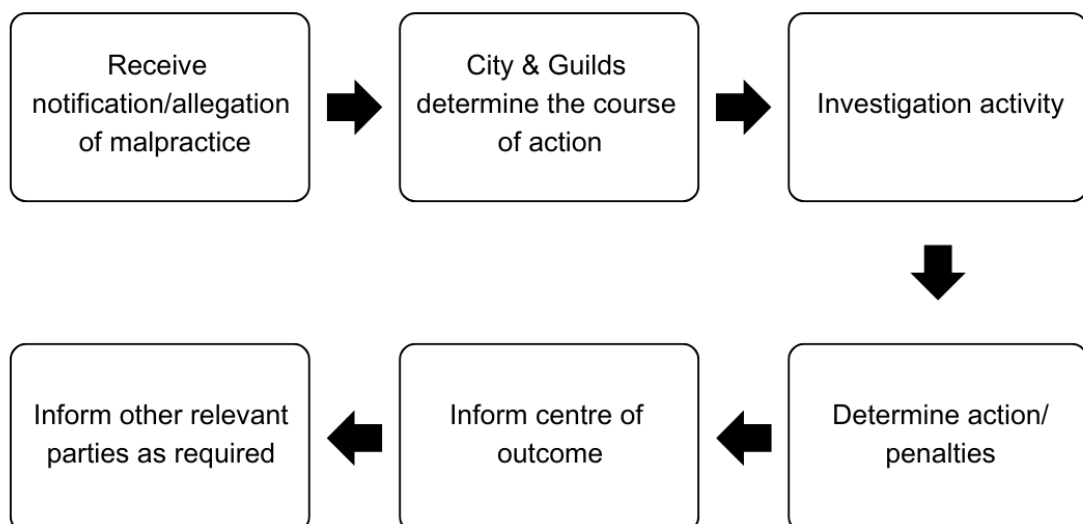
Appendix 5: Notification form checklist

- 10.3. Upon receiving a report of suspected malpractice, City & Guilds will determine whether the investigation will be carried out by the Head of Centre or by the Investigation & Compliance Team. The decision will be communicated to the Head of Centre (Head of Registry & Exams) by the appointed Case Manager.
- 10.4. The centre must notify individuals accused of malpractice in writing, providing:
- The specific allegations against them.
 - The evidence supporting the allegation.
 - Possible consequences and any penalties that may be imposed if malpractice is confirmed.
- 10.5. Registry must submit a full written report to complete **Appendix 10: Centre Investigation Malpractice Form** providing details of the investigation and submit any associated documentation to City & Guilds within an agreed timeframe.
- 10.6. The report must include the following, as appropriate:
- A detailed account of the circumstances of the alleged malpractice and of the investigation carried out by the centre (this should include but is not limited to; the full investigation report with any noted appendices, and any preventative and punitive actions that have been taken).
 - A written declaration that staff members involved in the investigation of the malpractice incident have no conflict of interest in doing so.
 - Signed and dated written statement(s) or transcript(s) of interviews from the Invigilator(s), Assessor(s), Internal Quality Assurer(s) or other staff involved.
 - Signed and dated written statement(s) or transcript(s) of interviews from any learner(s) who is/are involved.

- Any work of the learner(s) involved and any associated material.
- Any exculpatory evidence and/or mitigating factors, if relevant. We may consider mitigating circumstances supported by appropriate evidence.
- Ignorance of regulations and requirements will not, by itself, be considered a mitigating factor e.g. refusing to take notice of regulations or failing to consider requirements.
- The findings/conclusions that the center have come to and the evidence that supports this conclusion.

10.7. Process of Investigation

10.7.1. Below is a brief overview of the process that is undertaken when City & Guilds receives a notification or allegation of malpractice.



10.8. Decision timeframe

10.8.1. City & Guilds will aim to complete the investigation with minimal inconvenience and in the shortest possible time. The centre's ability to provide all the information requested as quickly as possible will help to ensure this aim is met.

11. Review and Other Procedures

11.1. If the learner concerned is unhappy with the outcome of the malpractice and/or maladministration investigation, they can request a review of the matter under Complaints Procedure.



11.2. For further detail on specific awarding body policies linked to malpractice, please see the links below. This is not an exhaustive list.

JCQ

<https://www.jcq.org.uk/exams-office/malpractice>

City and Guilds Centre document library

<https://www.cityandguilds.com/delivering-our-qualifications/centre-development/centre-document-library>



Version History

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