

Assessment Malpractice Policy

(including Maladministration and Conflicts of Interest)

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Prepared by:	Head of Quality	
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Introduction

This policy complies with the Joint Council for Qualifications (JCQ) 'Suspected Malpractice Policies and Procedures'.

The JCQ document can be located [here](#).

Please note that this Policy is to be read in conjunction with awarding body policies and procedures/guidance documents. Where awarding organisations are regulated by Ofqual, please also refer to Ofqual's guidance.

The Joint Council for Qualifications (JCQ) 'Suspected Malpractice Policies and Procedures' *states*:

“‘Malpractice’ and ‘maladministration’ are related concepts, the common theme of which is that they involve a failure to follow the rules of an examination or assessment.” The JCQ uses the word ‘malpractice’ to cover both ‘malpractice’ and ‘maladministration’ and it means any act, default or practice which is:

- a breach of the Regulations; and/or
- a breach of awarding body requirements regarding how a qualification should be delivered; and/or
- a failure to follow established procedures in relation to a qualification;

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 centre or any officer, employee or agent of any awarding body or centre Malpractice may or may not relate directly to sitting an examination. Awarding bodies are aware of the possibility of novel or unexpected forms of malpractice emerging as technologies and the nature and organisation of examination centres change.
- is a failure to adhere to the regulations regarding the conduct of controlled assessments, coursework, examinations and non-examination assessments, BTEC set tasks, or failures of compliance with JCQ regulations in the conduct of examinations/assessments and/or the handling of examination question papers, candidate scripts, mark sheets, cumulative assessment records, results and certificate claim forms. This list is not exhaustive.

Centres must take all reasonable steps to prevent malpractice. Please refer to section 3.3 of the JCQ document. There is an increased focus on meeting awarding body deadlines by ensuring that staff involved in the delivery of assessments and examinations understand the key dates and deadlines and that there are robust procedures in place to ensure these are met.

The following are types of malpractice:

- Breach of security

- Deception
- Improper assistance to candidates
- Failure to co-operate with an investigation
- Maladministration (e.g. loss and/or theft of completed assessments; loss and/or theft of live assessment papers; a breach of confidentiality of live assessment materials (including the use of live papers as practice papers), failing to adhere to awarding body key dates and deadlines relating to the delivery of examinations and assessments (such as those relating to the return of scripts, reporting of internal assessment marks/grades, making entries/claims, and head of centre declarations)
- Candidate malpractice
- Staff malpractice

The JCQ state that “Malpractice may or may not relate directly to sitting an examination. Awarding bodies are aware of the possibility of novel or unexpected forms of malpractice emerging as technologies and the nature and organisation of examination centres change.”

The aim of this policy is to identify and minimise the risk of malpractice by staff or learners/candidates while ensuring that any response to any incidence of alleged malpractice is investigated immediately and objectively with appropriate penalties and/or sanctions in place to be imposed on learners/candidates or staff where incidents (or intended incidents) of malpractice are proven. As stated above, the policy is written to comply with the Joint Council for Qualifications (JCQ) ‘Suspected Malpractice Policies and Procedures’ and can be located [here](#).

Please note that if there is a conflict between awarding organisation regulations and JCQ procedures, the JCQ procedures take precedence.

The JCQ state that ‘Failure by a centre to notify, investigate and report to an awarding body all allegations of malpractice suspected malpractice constitutes malpractice in itself.’ Also, failure to take action as required by an awarding body, as detailed by the JCQ, or to co-operate with an awarding body’s investigation, also constitutes malpractice.

1 Policy on Assessment Malpractice

- Individuals and course teams should take steps to avoid the occurrence of malpractice. These steps should include, but are not restricted to:
- Using the induction period and the learner handbook to inform learners/candidates of the College’s policy on malpractice and the penalties for attempted and actual instances of malpractice;
- Periodically reminding staff and learners/candidates of the College’s policy on malpractice and the penalties for attempted and actual instances of malpractice;
- Requiring learners/candidates to complete a statement of authenticity declaring that their work is their own;
- Showing learners/candidates the appropriate referencing formats;
- Explaining to learners/candidates what constitutes plagiarism/malpractice and highlighting the consequences (in line with the College policy);
- Identifying instances of plagiarism. Please refer to pages 9 to 12;
- Declaring Conflicts of Interest. Please refer to pages 13 to 20.

2 Learner/Candidate Malpractice Defined

'Learner/Candidate malpractice' means malpractice or suspected malpractice by a learner, candidate or trainee in connection with examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the completion of portfolios of assessment evidence and the writing of any examination paper. Comprehensive examples of learner/candidate malpractice are outlined on pages 38 and 39 of the Joint Council for Qualifications (JCQ) 'Suspected Malpractice Policies and Procedures'. Other instances may be considered at the College's discretion. Some examples are as follows:

- Plagiarism (see details from page 9);
- False declaration of authenticity in relation to the contents of a portfolio or coursework (Malpractice in coursework or within a controlled assessment component of a specification discovered prior to the candidate signing the Statement of Authenticity need not be reported to the Awarding Body, but must be dealt with in accordance with the centre's internal procedures);
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in any forms of assessment (including examinations);
- Misuse of assessment material/unauthorised use of material in any assessment activity (including examinations);
- Cheating during internally and/or externally set examinations or coursework assessments; failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
- Fabrication of results or evidence;
- Deliberate destruction of another's work.

The College has the right to reject a learner's/candidate's work on the grounds of malpractice if any of the above regulations are broken. The learner/candidate, parent or guardian (where appropriate) of a learner/candidate has the right to appeal against any decisions to reject a candidate's internally assessed work on the grounds of malpractice. The College will retain originals of unauthorised material found in the examination room until the issue of results.

3 Staff Malpractice Defined

The JCQ define staff malpractice as meaning 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.

Instances of malpractice are outlined on pages 36 to 39 of the Joint Council for Qualifications (JCQ) 'Suspected Malpractice Policies and Procedures'. Other instances may be considered at the College's discretion. Some examples are as follows:

- Failure to keep candidate work secure (including learner/candidate tracking sheets, coursework, portfolios, computer files and assessed work) in line with Awarding Body requirements;
- Falsifying records (including the alteration of awarding body specifications, assessment/grading criteria and certificates, inventing or changing marks for internally assessed work (where there is insufficient evidence of the candidate's achievement to justify the marks given or assessment decisions made) and producing falsified witness statements);
- Failure to adhere to Awarding Body re-submission and re-take guidelines/requirements;
- Fraudulent certificate claims;
- Improper assistance to learners/candidates - any act where assistance is given beyond that permitted by the specification or regulations to a learner/candidate or group of learners/candidates, which results in a potential or actual advantage in an examination or assessment. Examples outlined by the JCQ include: assisting learners/candidates in the production of controlled assessments or coursework, or evidence of achievement, beyond that permitted by the regulations; sharing or lending candidates' controlled assessments or coursework with other candidates in a way which allows malpractice to take place; assisting or prompting learners/candidates with the production of answers; permitting learners/candidates in an examination to access prohibited materials (dictionaries, calculators etc.); prompting candidates in an examination/assessment by means of signs, or verbal or written prompts;
- Allowing evidence, which is known by a staff member not to be the learner's/candidate's own, to be included in a learner's assignment/task/portfolio/coursework;
- Facilitating and allowing impersonation;
- Misusing the conditions for special learner/candidate requirements, e.g. where learners/candidates are permitted support, where the support has the potential to influence the outcome of the assessment.

4 Addressing Malpractice/Alleged Malpractice

Instances of suspected malpractice (including maladministration) may be identified internally (e.g. by staff and/or learners/candidates) or externally (e.g. by an awarding body or an employer). Instances of suspected malpractice are to be reported to the Principal immediately, with the exception of instances of plagiarism, which are to be reported to the Head of Quality.

In cases where allegations are made against the head of centre, or the management of the centre, the awarding body will decide how the investigation will be carried out. The awarding body may authorise another person to gather evidence on its behalf (such as Chair of the Governing Body of the centre).

The Principal must report to the appropriate awarding body immediately, all alleged, suspected or actual incidents of malpractice/maladministration. The only exception to this is when malpractice is discovered in coursework or non-examination assessments before the authentication forms have been signed by the candidate. If staff malpractice is discovered in coursework or non-examination assessments, the Principal **must** inform the awarding body immediately regardless of whether the authentication forms have been signed by the learner/candidate. The forms for reporting malpractice can be located [here](#).

The head of centre must ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation.

In line with the JCQ requirements, where authentication forms have been signed, the Principal will:

- Notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice/maladministration. The only exception to this is candidate malpractice discovered in controlled assessments, coursework or non-examination assessments before the authentication forms have been signed by the candidate (see section 4.3);
- report malpractice using the appropriate forms (i.e. JCQ/M1 suspected candidate malpractice or JCQ/M2a suspected malpractice/maladministration involving centre staff) to notify an awarding body of an incident of malpractice;
- Be accountable for ensuring that the centre and centre staff comply at all times with the awarding body's instructions regarding an investigation;
- Supervise personally, and as directed by the awarding body, all investigations resulting from an allegation of malpractice unless the investigation is being led by the awarding body or another party;
- Ensure that if it is necessary to delegate an investigation to a senior member of centre staff, the senior member of centre staff chosen is independent and not connected to the department or candidate involved in the suspected malpractice. This is to avoid conflicts of interest which can otherwise compromise the investigation;
- Respond speedily and openly to all requests for an investigation into an allegation of malpractice. This will be in the best interests of centre staff, candidates and any others involved;
- Speedily and openly make available information as requested by an awarding body;
- Co-operate and ensure their staff do so with an enquiry into an allegation of malpractice, whether the centre is directly involved in the case or not;
- Ensure that staff members and candidates are informed of their individual responsibilities and rights as set out in these guidelines;
- Forward any awarding body correspondence and evidence to centre staff and/or provide staff contact information to enable the awarding body to do so;
- At all times comply with data protection law;
- Pass on to the individuals concerned any warnings or notifications of penalties, and ensure compliance with any requests made by the awarding body as a result of a malpractice case.

Where the awarding body has authorised the Principal to carry out the investigation into allegations of malpractice/maladministration, the investigation will be completed by a nominee appointed by the Principal. Where a conflict of interest may be seen to arise, investigations into suspected malpractice should not be delegated to the manager of the section, team or department involved in the suspected malpractice. In the event of any concerns regarding conflicts of interest or the suitability of the potential investigator, the Principal must contact the awarding body as soon as possible to discuss the matter.

All stages of the investigation will be documented. The Principal will issue the nominee with the appropriate JCQ/Ofqual/Awarding Body paperwork. The Principal however retains overall responsibility for the investigation.

An investigation will be conducted, commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Principal and all personnel linked to the allegation.

Investigation meetings with staff and learners can take place in Welsh if this is their preferred language.

Malpractice by a learner/candidate in a controlled assessment, coursework or non-examination assessment component discovered **prior to** the learner/candidate signing the declaration of authentication may not need to be reported to the awarding body but must be dealt with in accordance with the centre's internal procedures and/or awarding body requirements. The only exception to this is where the awarding body's confidential assessment material has been breached. The breach must be reported to the awarding body.

If a learner/candidate has not been entered with an awarding body for the component, unit or qualification, malpractice discovered in controlled assessment, coursework or non-examination assessment must also be dealt with in accordance with the centre's internal procedures.

Where malpractice by a learner in a **vocational qualification** is discovered prior to the work being submitted for certification, centres should refer to the guidance provided by the awarding body.

(Note: JCQ advises that 'Centres are advised that if controlled assessment, coursework, non-examination assessment or portfolio work which is submitted for internal assessment is rejected by the centre on grounds of malpractice, candidates have the right to appeal against this decision.' The JCQ website contains advice on the recommended procedures for appeals against internal assessment decisions).

Where staff malpractice is suspected, the Principal or nominee will inform People & Culture. People & Culture will support the nominee and the member of staff during the investigation.

People & Culture will make the staff member aware (at the earliest opportunity), of the nature of the alleged malpractice, their individual responsibilities and rights and of the possible consequences should malpractice be proven. Individuals will be issued with a copy of the College's Malpractice Policy and the current JCQ 'Suspected Malpractice Policies and Procedures'.

Individuals will be given the opportunity to respond to the allegations made and will be informed of avenues for appealing against any judgements made.

Where malpractice is proven the College will apply existing sanctions in-keeping with the College's existing disciplinary policies and procedures.

Investigation Outcome – Investigations carried out by the Head of Centre/Appointed Investigator

The Principal will inform the Vice Principal (Academic) and Head of Quality of the investigation outcome (and will provide a copy of the completed JCQ investigation paperwork). The Vice Principal (Academic) or the Head of Quality will be responsible for communicating the outcome to the Awarding Body via an investigation report (accompanied by the required information as outlined by the JCQ in the current JCQ 'Suspected Malpractice Policies and Procedures').

The Vice Principal (Academic) or the Head of Quality will produce a summary report for presentation to Academic Board and the Curriculum and Quality Committee.

The Awarding Body may request further information and/or enforce additional actions. Please refer to the current JCQ document 'Suspected Malpractice Policies and Procedures' for further information (from page 22).

5 Plagiarism

What is plagiarism?

Plagiarism is using the work or ideas of other people without acknowledging the source.

Plagiarism is fraud

How we identify plagiarism

The College identifies plagiarism with plagiarism detecting software and through auditing assessments and assignments.

How to reference work accurately

A referencing guide is to be made available to all learners/candidates.

Consequences of plagiarism

- All instances of plagiarism will be recorded and reported to the Head of Quality
- Tutor and Head of School (with support from the Head of Quality if required) will make a judgement on whether the plagiarism is minor or serious. Please refer to the procedures outlined below for minor and serious instances of plagiarism
- Where a Statement of Authenticity (SoA) has been signed, the Awarding Body is to be informed via the Head of Quality
- **All learners/candidates** who plagiarise work will be issued with a verbal warning (as a minimum)
- The Head of Quality will maintain a log of all reported instances of plagiarism.

Judgement 1 (Minor)

- Tutor/HoS informs The Head of Quality of identification of minor plagiarism and outlines the planned course of action (e.g. re-submission of work)
- Tutor/HoS to meet with the learner/candidate to discuss required action and the learner/candidate is given an opportunity to respond
- Disciplinary process is followed - verbal warning given
- Tutor works with the learner/candidate to ensure agreed actions are completed

Judgement 2 (Serious)

- Tutor/HoS informs the Head of Quality of identification of serious plagiarism
- Tutor/HoS and the Head of Quality to discuss and agree the course of action
- Head of Quality and Tutor/HoS meets with the learner/candidate. The learner/candidate is given the opportunity to respond. The learner/candidate is informed of the agreed course of action (e.g. re-submission under controlled conditions)
- Head of Quality informs the awarding body as appropriate
- Disciplinary process is followed – referral to the Campus Director
- Tutor works with the learner/candidate to ensure agreed actions are completed

- The Head of Quality is responsible for informing the Awarding Body of all reported instances of plagiarism where the learner/candidate has signed the Statement of Authenticity (in line with specific Awarding Body requirements)
- The Head of Quality will also inform the Awarding Body of the intended action
- The learner/candidate will be informed that the Awarding Body is being made aware of the instance of plagiarism
- The information will be recorded by the Head of Quality

Type of submitted work

Plagiarism applies to all types of work, some of which are listed below:

- I. Assignments
- II. e-portfolios
- III. Practical assessments
- IV. Creative projects
- V. Partially completed work

This list is a guideline and is not definitive.

Examples of plagiarism

- I. Copying and pasting from other sources
- II. Misuse of Artificial Intelligence Large Language Models (see specific information on pages 11 and 12)
- III. Using another person's ideas / work without permission
- IV. Facts
- V. Statistics
- VI. Graphs
- VII. Photos
- VIII. Media
- IX. Drawings
- X. Quotations of text or speech without referencing
- XI. Use of someone else's work with minor alterations

This is a guideline and not an exhaustive list.

Definition of 'Minor Plagiarism' –

- a *small amount* of paraphrasing, quotation or use of diagrams, charts etc. without adequate and appropriate citation/referencing

Definition of 'Serious Plagiarism' –

- *extensive* paraphrasing, quotation or use of diagrams, charts etc. without adequate and appropriate citation/referencing
- the use of essays (or parts of essays) from essay banks
- Lifting text directly from another source without referencing
- Continued instances of 'Minor Plagiarism'

- Presenting the ideas and work of others as own work

Note – JCQ state the following in their Plagiarism in Assessments Policy [here](#) “It should be noted that plagiarism does not include collusion; that is, working collaboratively with other candidates; neither does it include copying from another candidate in the same examination session. Both of these are defined as different forms of malpractice.”

Note: *These definitions are a guideline and not an exhaustive list. You will need to exercise careful judgement about which category the instance of plagiarism falls into.*

Overview of Artificial Intelligence Large Language Models (LLM) and Academic Integrity

There are computer programs (such as ChatGPT “generative pre-trained transformer”) that can understand and respond to human language. They are a type of Artificial Intelligence (AI) called Large Language Models and can generate text, answer questions and even generate text that creates stories/poems based on prompts (user input) using a bank of information stored. They can also learn from users and they can check style and grammar. It is understood that the same request can be made multiple times and different outputs will be generated each time.

Despite there being a number of GPT detectors (detecting AI-generated text), the technology presents a particular challenge in relation to academic integrity/plagiarism.

Currently, Large Language Models have known limitations, and it is important that learners understand the impact that the use of them may have, not only on the integrity of assessments (if not correctly attributed), but also on achieving assessment outcomes and grades. Text generated by ‘AI’ is put together from a wealth of words within a database according to their programming and will ‘stitch’ together words to produce sentences/paragraphs. The output may be factually inaccurate, lack context, insight and detail and may contain different spelling conventions (i.e. English/American).

Learners at the College complete statements of authenticity to certify that the work included within assessments is their own. This is an embedded process. **It is important that learners understand that all sources are to be correctly attributed, and that the contribution of any assistive technologies is fully acknowledged. If a learner submits narrative generated by ‘AI’ and submits it under their own name, it can be considered to be assessment malpractice/plagiarism.** It is also important that learners use reliable sources as prescribed/recommended by awarding bodies and tutors.

JCQ’s AI Use in Assessments: Protecting the Integrity of Qualifications can be accessed [here](#). AI misuse is outlined on page 3:

As has always been the case, and in accordance with section 5.3(j) of the JCQ General Regulations for Approved Centres (<https://www.jcq.org.uk/exams-office/general-regulations/>), learners must submit work for assessments which is their own.

This means both ensuring that the final product is in their own words and isn't copied or paraphrased from another source such as an AI tool, and that the content reflects their own independent work. Learners are expected to demonstrate their own knowledge, skills and understanding as required for the qualification in question and set out in the qualification specification. This includes demonstrating their performance in relation to the assessment objectives for the subject relevant to the question/s or other tasks learners have been set. Any use of AI which means learners have not independently demonstrated their own attainment is likely to be considered malpractice.

While AI may become an established tool at the workplace in the future, for the purposes of demonstrating knowledge, understanding and skills for qualifications, it's important for learners' progression that they do not rely on tools such as AI. Learners should develop the knowledge, skills and understanding of the subjects they are studying. AI tools must only be used when the conditions of the assessment permit the use of the internet and where the student is able to demonstrate that the final submission is the product of their own independent work and independent thinking.

Examples of AI misuse include, but are not limited to, the following: • Copying or paraphrasing sections of AI-generated content so that the work is no longer the student's own • Copying or paraphrasing whole responses of AI-generated content • Using AI to complete parts of the assessment so that the work does not reflect the student's own work, analysis, evaluation or calculations • Failing to acknowledge use of AI tools when they have been used as a source of information • Incomplete or poor acknowledgement of AI tools • Submitting work with intentionally incomplete or misleading references or bibliographies.

AI misuse constitutes malpractice as defined in the JCQ Suspected Malpractice: Policies and Procedures (<https://www.jcq.org.uk/exams-office/malpractice/>)."

How to avoid plagiarism

Referencing is accrediting information to the original source. The method of referencing will depend on the course being taken. Below is a checklist of primary and secondary sources that can be referenced in the work submitted. The Learning Resource Centres can also provide guidance.

- Internet (including Artificial Intelligence/Large Language Models)
- Books
- Music
- Images
- Film
- Radio
- Magazines
- Newspapers
- Papers / Journals
- Art work
- Exhibition
- Talks / Presentations

- Video / DVD
- Photographs

6 Potential Consequences (proven instances of malpractice)

The malpractice sanctions available for proven instances may include:

- Loss of all marks/credits for the related work/unit
 - Disqualification and debarment from taking qualifications for a number of years
 - The issuing of a written warning that if the offence is repeated further action may be taken
- (Please see page 23 of JCQ's *Suspected Malpractice Policies and Procedures* for comprehensive detail about sanctions [here](#)).

Where the matter is managed internally (where permitted to do so by the Awarding Body), the next steps will be agreed between the Head of School and/or Deputy Head of School/Coordinator and the Head of Quality.

7 Conflicts of Interest

The Joint Council for Qualifications (JCQ) 'General Regulations for Approved Centres' can be accessed [here](#).

The College must ensure that it manages conflicts of interest by informing the awarding bodies, before the published deadline for entries, of:

<ul style="list-style-type: none"> • any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units;
<ul style="list-style-type: none"> • any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units; and
<ul style="list-style-type: none"> • maintains clear records of all instances where: <ul style="list-style-type: none"> ○ exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres; centre staff are taking qualifications at their centre which do not include internally assessed components/units; ○ Centre staff are taking qualifications at other centres. ○ Centre staff are taking qualifications at their centre which do not include internally assessed components/units;

The Head of Centre must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. The records may be inspected by a

JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Heads of centre should note that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre.

The head of centre is responsible for ensuring that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials.

The head of centre must ensure that during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment.

Managing Conflicts of Interest at Coleg y Cymoedd

It is the responsibility of staff to report a Conflict of Interest. The table below details the approaches to be taken:

<p>All tutors, assessors and internal verifiers must be issued with a conflict-of-interest form to complete on commencement with the organisation</p>	<ul style="list-style-type: none"> ○ During day one of the staff Induction process, all new tutors/tutor technicians, assessors and internal verifiers and learning support staff will be referred to the Head of Quality and a declaration will be completed (see Appendix 5) ○ Where a conflict of interest is identified, proper protocols will be put in place and the awarding body will be notified in line with their requirements. Records will be maintained (via a register) by the Head of Quality ○ It is the responsibility of staff to declare (in writing) any changes to circumstances in relation to conflicts of interest so that the changes can be evaluated and the register updated
<p>Members of staff who are teaching and preparing members of their family (which includes step family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which includes internally assessed units</p>	<ul style="list-style-type: none"> ○ The member of staff is to inform their Head of School and the Head of Quality immediately ○ The Head of Quality will document the information within a central record ○ Actions to mitigate the conflict of interest will be agreed (this is likely to include 100% Internal Quality Assurance (IQA) of the learner's work. If there is a conflict in terms of the Internal Quality Assurer, a different IQA will complete the activity) ○ IQA records are to be submitted to the Head of Quality

	<ul style="list-style-type: none"> ○ The learner work and IQA records are to be made available for External Quality Assurance sampling ○ The Head of Quality will inform the Awarding Body (unless there is a requirement for the members of staff to complete individual awarding body online declarations). The Head of Quality will oversee this process in instances.
Exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres	<ul style="list-style-type: none"> ○ The Examinations Manager is responsible for keeping records of conflicts of interest in this instance ○ The Examinations Manager will ensure that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials ○ During the examination series the learner will be treated in the same way as any other learner entered for that examination, does not have access to examination materials and does not receive any preferential treatment ○ Examination will be opened in the Examinations Room. Two individuals must check the day, date and time immediately before a question paper packet is opened. This is normally a member of the Examinations team plus the Invigilator ○ All records will be made available for JCQ inspection ○ The Examination Manager will complete a declaration (See Appendix 1)
<p>Any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units</p> <p>Any members of centre staff who are taking qualifications at their centre which do not include internally assessed components/units</p>	<ul style="list-style-type: none"> ○ Please refer to the flow chart in Appendix 2 ○ The member of staff applying for funding to attend a course will sign a declaration on the application form ○ People & Culture will inform the Head of Quality and the Examinations Manager when an application is received ○ Permission from the awarding body prior to registration/entry onto accredited course at the college must be requested and approved by the awarding body. The Head of Quality will oversee the completion of awarding body specific declarations/approval requests for all Schools, with the exception of courses delivered by Work Based Learning, where the Quality Coordinator will facilitate. The

	<p>Head of Quality will oversee this process in instances.</p> <ul style="list-style-type: none"> ○ Proper protocols will be in place to prevent the member(s) of staff (the learner(s)) having access to internal assessment material and examination materials prior to the internal assessment/examination. ○ The integrity and confidentiality of the internal assessment/examination materials will be maintained. The member(s) of staff (the learner(s)) will be treated in the same way as any other candidate entered for that internal assessment/examination and will not receive any preferential treatment. ○ Internally assessed work will be subject to IQA sampling as per the College's IV/IQA policy ○ EQA sampling activity will be in line with awarding body requirements ○ A separate declaration will be sent to the course tutors (see Appendix 3)
Centre staff who are taking qualifications at other centres.	<ul style="list-style-type: none"> ○ People & Culture will inform the Head of Quality and the Examinations Manager when an application is received ○ All assessment material is centre specific and is not to be shared with staff or learners who are completing the qualification at another centre. ○ Where disclosed to HR, the member of staff will complete a declaration (see Appendix 4)

Please contact the Head of Quality (sharon.leach@cymoedd.ac.uk) with any queries in relation to Conflicts of Interest.

Conflicts of Interest – Examinations Staff

To be completed by the Examinations Manager. This is a record of all instances where Exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres;

Date Reported	Member of Exams Staff	Learner Name	Course Code and Title	Conflict Details

Declaration:

I declare that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials. During the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment.

Examination papers are opened in the Exam Room. Two individuals must check the day, date and time immediately before a question paper packet is opened. This is normally a member of the exams team plus the invigilator. This JCQ document is required for inspection purposes (Second Pair of Eyes).

Name of Examinations Manager: _____

Signature: _____

Date: _____

Identifying and Recording Conflicts of Interest

Members of staff enrolled on a course at Coleg y Cymoedd (with internally assessed and/or externally assessed units) and members of staff taking a course at another centre

It is a JCQ requirement that the College maintains clear records of all instances where any members of staff are taking qualifications at their own centre (which includes internally assessed and externally assessed components) **and** where members of staff are taking a course at another centre. Where a member of staff wishes to enrol onto an accredited course at the College, approval needs to be sought from the awarding body prior to registration.

Member of Staff applies to attend CPD

The request is reviewed by Learning and Development (People and Culture) and approved as appropriate



Learning and Development informs the Head of Quality, Examinations Manager and WBL Quality Coordinator that a member of staff intends to become a learner on an accredited course at the college or at another centre and provides a copy of the internal application



An approval application is submitted to the awarding body where a member of staff wishes to enrol onto an accredited course at the college. Registration cannot proceed until approval has been received. Learning and Development will be informed of the awarding body's decision.

The appropriate declarations will be issued to staff for completion.

Completed declarations will be available for internal and external audit.

Appendix 3

Conflict of Interest – Staff taking a qualification at the college

This is a record of members of college staff who are taking qualifications at the college which include internally assessed and externally assessed components/units;

Date Reported:	Coleg y Cymoedd staff member(s) (the learner(s)):	Course Code and Title:	Course Start Date:	Assessment details (highlight as appropriate):
	Coleg y Cymoedd Course Tutor(s):	Awarding Body:	Course End Date:	Internally Assessed and/or Externally Assessed Units:

I confirm that:

Proper protocols are in place to prevent the member(s) of staff (the learner(s)) having access to internal assessment material and examination materials prior to the internal assessment/examination. The integrity and confidentiality of the internal assessment/examination materials will be maintained. The member(s) of staff (the learner(s)) will be treated in the same way as any other candidate entered for that internal assessment/examination and will not receive any preferential treatment.

Internally assessed work is subject to IQA sampling as per the IV policy and EQA sampling activity in line with awarding body requirements.

Signed (Course Tutor(s):

Name _____

Signature _____ Date _____

Name _____

Signature _____ Date _____

Name _____

Signature _____ Date _____

Appendix 4

Conflict of Interest – Staff taking a qualification at other centres

This is a record of members of college staff who are taking qualifications at other centres which include internally assessed and externally assessed components/units;

Date Reported:	Coleg y Cymoedd staff member:	Where is the course being delivered?:	Course Title: Course Start Date: Course End Date:	Assessment details (highlight as appropriate): Internally Assessed and/or Externally Assessed

I confirm that the integrity and confidentiality of the internal assessment/examination materials will be maintained and I will not share any resources and assessment material with anyone.

Signed:

Name _____

Signature _____ Date _____

Appendix 5:

Coleg y Cymoedd

Conflicts of Interest - Staff Declaration

All Tutors, Assessors, Internal Quality Assurers, Tutor Technicians and Learning Support staff must complete this conflict-of-interest form **on commencement with the organisation**. It is the duty of all Tutors, Assessors, IQAs, Tutor Technicians and Learning Support staff to disclose any actual or potential conflict of interest.

Name	
Employment start date	
School	
Role (Tutor/Assessor/IQA)	
Is there a conflict of Interest to declare? Yes/No	
Is yes, please provide details	
<p>I confirm that the details submitted above are correct. I understand that I must declare any changes to my circumstances by informing my line manager and the Head of Quality immediately in writing, so that the conflict of interest can be evaluated, and the register updated.</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%;">Signed:</div> <div style="width: 45%;">Date:</div> </div>	