



CCS Training Ltd 

CCS TRAINING

MALPRACTICE POLICY

CCS TRAINING

CCS TRAINING's policy on malpractice is to safe guard the integrity of the qualification. Without this strong level of examination integrity the whole concept of providing strong worthy qualifications could be in jeopardy.

CCS TRAINING have issued a document on Conducting Examination's and it is this document that must be adhere to at all times

There is a distinct difference between maladministration and malpractice – malpractice is a deliberate act to gain some advantage, CCS TRAINING will ensure a full investigation of any situation and will establish the facts if the action is deliberate to achieve an advantage. This deliberate act could be performed by a student or a centre in which case this is malpractice and CCS TRAINING will take action against the centre or student.

Any act of malpractice or maladministration will be investigated and the investigation will be fair with all the facts established before action is taken. CCS TRAINING will not make any assumptions and will be fair and true in their investigations to all parties. All relevant information will be considered in a reasonable manner ensuring that the information is considered without bias.

CCS TRAINING values a culture of honest, mutual trust and academic integrity and expects all clients/students to do the same and respect and uphold these core values.

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Introduction

This document is intended for heads of centres, examination officers and others involved in managing the delivery of examinations which are certificated by CCS TRAINING.

The document:

- Identifies the *Code of Practice* and regulations under which examinations operate
- Defines malpractice in the context of examinations
- Sets out the rights and responsibilities of CCS TRAINING, centre staff and students in relation to such matters
- Describes the procedures to be followed in cases where there is a reason to suspect that the regulations have been broken

Instances of malpractice

Instances of malpractice arise for a variety of reasons:

- Some incidents are intentional and aim to give an unfair advantage in an examination
- Some incidents arise due to ignorance of the regulations, carelessness or forgetfulness in applying the regulations
- Some occur as a direct results of the force of circumstances which are beyond the control of those involved (e.g a fire alarm sounds and the exam is disrupted)

The individuals involved in malpractice are also varied. They may be:

- Students
- Trainers, invigilators or others responsible for the conduct, the administration or the quality assurance of examinations
- Other third parties – friends of the students

Irrespective of the underlying cause or the people involved, all allegations of malpractice in relation to examinations need to be investigated. This is to protect the integrity of the qualification and to be fair to the centre and all students.

This document details the procedures for investigating and determining allegations of malpractice which in their fairness, thoroughness, impartiality and objectivity meet or exceed the requirements of current law in relation to such matters.

1 – DEFINITIONS

Centre

An organisation (such as a training company/provider or place of employment) which is accountable to CCS TRAINING for the examination arrangements leading to an award.

Head of centre

The “head of centre” is the most senior operational officer in the organisation or the Managing Director of a company or training provider.

Where an allegation of malpractice is made against a head of centre, the responsibilities set out in this document as applying to the head of centre shall be read as applying to such other person nominated to investigate the matter by CCS TRAINING, such as the Chair of Governors.

Qualifications

“Qualifications” mean a statement of accomplishment following an examination.

Examinations

Examinations means any written activity set according to CCS TRAINING.

Malpractice

Malpractice – **which includes maladministration and non-compliance**, means any act, default or practice which is a breach of the Regulations or which:

- Compromises, attempts to compromise or may compromise the process of the examination, the integrity of any qualification or the validity of a result or certificate **and/or**
- Damages the authority, reputation or credibility of CCS TRAINING or centre or any officer, employee or agent of CCS TRAINING or centre

FAILURE BY A CENTRE TO NOTIFY, INVESTIGATE AND REPORT TO CCS TRAINING ALLEGATIONS OF SUSPECTED MALPRACTICE CONSTITUTES MALPRACTICE.

ALSO, FAILURE TO TAKE ACTION AS REQUIRED BY CCS TRAINING, AS DETAILED IN THIS DOCUMENT, OR TO CO-OPERATE WITH CCS TRAINING’S INVESTIGATION CONSTITUTES MALPRACTICE.

Centre staff malpractice

Centre staff malpractice means:

- Malpractice committed by a member of staff or contractor (whether employed under a contract of employment or a contract for services) at a centre or
- An individual appointed in another capacity by a centre such as an invigilator or a scribe

Examples of centre staff malpractice are set out in **Appendix 1, part 1**. These examples are not an exhaustive list and as such do not limit the scope of the definitions set out in this document. Other instances of malpractice may be identified and considered by CCS TRAINING at their discretion.

Student malpractice

Student malpractice means malpractice by a student in the course of any examination including the preparation and authentication of any controlled examinations, the presentation of any practical work and the writing of any examination paper.

Examples of student malpractice are set out in **Appendix 1 part 2**. These examples are not an exhaustive list and as such do not limit the scope of the definitions set out in this document. Other instances of malpractice may be considered by CCS TRAINING at their discretion.

2 – INDIVIDUAL RESPONSIBILITIES

- 2.1 The regulator's *General Conditions of Recognition* state that awarding bodies must:
- Establish and maintain and at all times comply with, up to date written procedures for the investigation of suspected or alleged malpractice or maladministration and
 - Ensure that such investigations are carried out rigorously, effectively and by persons of appropriate competence who have no personal interest in their outcome

2.2 CCS TRAINING will:

- Oversee all investigations into suspected or alleged malpractice
- Withhold the issuing of results until the conclusion of the investigation or permanently where the outcome of the investigation warrants it
- Apply the sanctions and penalties listed in this document in cases of proven malpractice
- report the matter to the regulators and other awarding bodies in accordance with the regulators *General Conditions of Recognition*
- report the matter to the police and/or other appropriate authorities if proven malpractice involved the committing of a criminal act

- 2.3 CCS TRAINING will normally authorise the head of centre, acting on behalf of CCS TRAINING to carry out the investigation.

CCS TRAINING reserve the right to conduct any investigation where it feels it is the most appropriate course of action.

Where allegations are made against the head of centre, or the management of the centre CCS TRAINING will decide how the investigation will be carried out. CCS TRAINING may authorise the **Chair of the Governing Body of the centre or the responsible employer (or his/her nominee)**

The individual will then report to CCS TRAINING when the investigation has been completed.

- 2.4 CCS TRAINING may use their own personnel to investigate cases involving a breach or suspected breach of security (e.g. the content of examination material becomes known before the scheduled date of the exam). This is in addition to and not a substitution for the requirement for centres to provide full details of suspected, alleged or confirmed breaches of security.

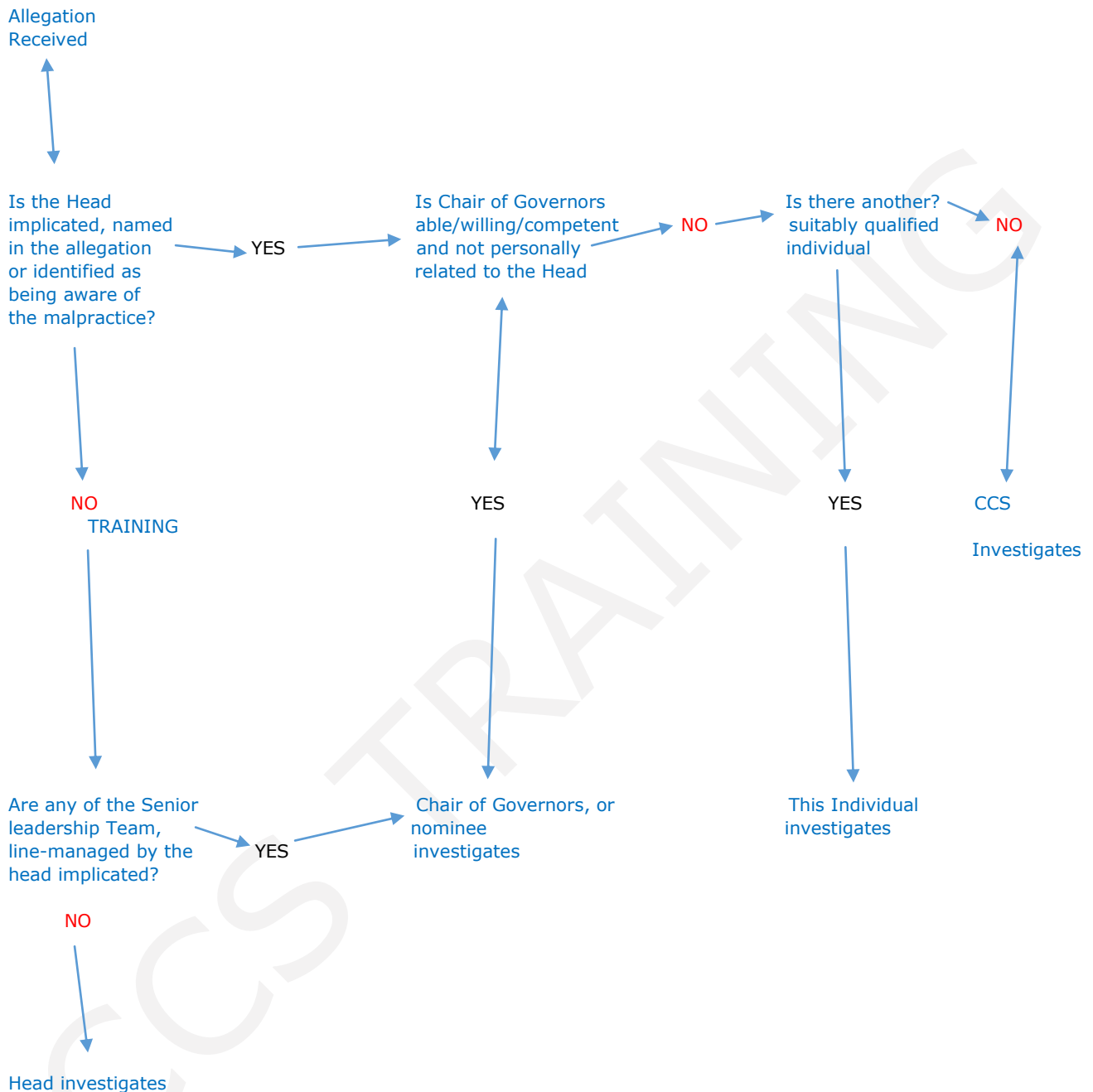
See page 9 for a flow chart detailing how CCS TRAINING determines who investigates

2.5 The head of centre **must:**

- **Notify CCS TRAINING at the earliest opportunity of all suspicions or actual incidents of malpractice. The only exception to this is malpractice discovered in practical assessments before the authentication/signature forms have been signed by students (see section 4.3)**
- **Complete CCS TRAININGMALCAN1** (suspected student malpractice) or **CCS TRAININGMALCEN1** (suspected malpractice/maladministration involving centre staff) to notify CCS TRAINING of an incident of malpractice – forms available through the website.
- Supervise personally and as directed by CCS TRAINING all investigations resulting from an allegation of malpractice
- 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 student 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, students and any others involved.
- 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
- Inform staff members and students of their individual responsibilities and rights as set out in these guidelines
- Pass on to the individuals concerned any warnings or notifications of penalties and ensure compliance with any requests made by CCS TRAINING as a result of a malpractice case

WHO INVESTIGATES

CCS TRAINING reserves the right to conduct any investigation where it feels that it is the most appropriate course of action at any stage. The decision always rests with CCS TRAINING



3 – PROCEDURES FOR DEALING WITH ALLEGATIONS OF MALPRACTICE

- 3.1 The handling of malpractice complaints and allegations involves the following phases
- The allegation – Section 4
 - CCS TRAINING'S response – Section 5
 - The investigation - Section 6
 - The report – Section 7
 - The decision – Section 8
 - The appeal – Section 14

Communications

- 3.2 CCS TRAINING will normally communicate with the head of centre when reporting allegations of malpractice, except when the head of centre or management of the centre is under investigation. In such cases communications will be with such other person nominated to investigate the matter by CCS TRAINING, such as the Chair of Governors.
- 3.3 Communications relating to the decisions taken by CCS TRAINING in cases of malpractice will always be addressed to the head of centre, except when the head of centre or management is under investigation. When the head of centre or management is under investigation, communication will be with the Chair of Governors or other appropriate nominated person as deemed appropriate.
- 3.4 CCS TRAINING may communicate directly with members of centre staff who have been accused of malpractice if the circumstances warrant this – e.g the staff member is no longer employed or engaged by the centre.
- 3.5 CCS TRAINING will only communicate directly with a student or the student's representative when either the student is a private student or CCS TRAINING has chosen to communicate directly with the student due to the circumstances of the case.

For example – there is a contradiction in the evidence provided by the student and the centre or the centre is suspected of non-compliance with the regulations

In such cases CCS TRAINING will advise the head of centre in writing that it proposes to deal directly with the student. A head of centre once advised by CCS TRAINING should not ordinarily communicate further with the student.

- 3.6 CCS TRAINING reserves the right to share with other awarding bodies' information relevant to malpractice investigations.

4 – THE ALLEGATION

Suspected malpractice identified by examiners or moderators

- 4.1 examiners or moderators who suspect malpractice in an examination must notify CCS TRAINING immediately using the procedures and forms provided by CCS TRAINING**

A full account of the incident **MUST** be submitted together with supporting evidence and an indication of which regulation or specification requirement has been broken.

It is not necessary to inform the head of centre of this report as details of the allegation will be communicated from CCS TRAINING.

Suspected malpractice identified by a centre

- 4.2 Where suspected malpractice is identified by a centre, the head of centre must submit full details of the case at the earliest opportunity to CCS TRAINING**

Form CCS TRAININGMALCAN1 (suspected student malpractice or form CCS TRAININGMALCEN1 (suspected centre malpractice/maladministration involving centre staff) must be used to notify CCS TRAINING of an incident or malpractice – forms available on the website

- 4.3 Malpractice by a student in any coursework discovered prior to the student signing the declaration of authentication need not be report to CCS TRAINING but must be dealt with in accordance with the centre's internal procedures.**

Centres should not normally give credit for any work submitted which is not the students own work. If any assistance has been given a note **MUST** be made of this on the cover sheet of the students work or other appropriate place.

Malpractice report by others

- 4.4 Allegations of malpractice are sometimes reported to CCS TRAINING by employers, centre staff, regulators or funding agencies. Sometimes these reports are anonymous.**

Where requested CCS TRAINING will not disclose the identity of individuals reporting cases of suspected malpractice, unless legally obliged to do so.

- 4.5 CCS TRAINING are aware that the reporting of malpractice by a member of staff or a student can create a difficult environment for that staff member or student.**

Accordingly CCS TRAINING will try to protect the identity of an informant if this is asked for at the time the informant gives information.

CCS TRAINING will use such information in its investigation but will not present to the Malpractice Committee information from an informant who wishes to withhold his/her identity.

- 4.6 If the information is provided over the telephone the informant will usually be asked to make the allegation in writing.**
- 4.7 When CCS TRAINING receives an allegation from someone other than the head of a centre (including anonymous reports) CCS TRAINING will evaluate the allegation in the light of any other available information to see if there is cause to investigate.**

5 – CCS TRAINING'S RESPONSE TO AN ALLEGATION OF MALPRACTICE

- 5.1 In the case of notifications of suspected malpractice received from examiners, moderators or members of the public (including whistle-blowers) CCS TRAINING will consider the information provided and decide to:
- Take no further action **or**
 - Ask the head of centre or other suitably qualified individual to conduct a full investigation into the alleged malpractice and to submit a written report **or**
 - Investigate the matter directly
- 5.2 CCS TRAINING will notify any relevant regulators as soon as it receives an allegation of a serious breach of security. Any other awarding bodies which have approved that centre, and the police may also be informed.
- 5.3 On receipt of a notification of suspected malpractice, submitted by a head of centre, CCS TRAINING will consider the information provided and decide either:
- To take no further action **or**
 - If the notification takes the form of a Report, to make a decision on the case in accordance with the procedures (where the evidence permits) – see sections 8 – 13 **or**
 - To ask the head of centre to carry out a further investigation as described in sections 6.1-6.6 and provide further evidence **or**
 - to investigate the matter further itself
- 5.4 Regardless of whether the allegation of malpractice is proven or not, in order to ensure the integrity of and public confidence in, future examinations CCS TRAINING may undertake additional inspections and/or monitoring, and/or require additional actions

6 – THE INVESTIGATION

Investigations carried out by the head of centre/appointed person

- 6.1 It will normally be expected that investigations into allegations of malpractice will be carried out by the head of centre. The head of centre should deal with the investigation in a timely manner.

Heads of centre are referred to in section 2.5 of this document for their responsibilities

- 6.2 Those responsible for conducting an investigation should establish the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made it is true.
- 6.3 The head of centre should consider that both staff and students can be responsible for malpractice.

If the investigation is delegated to another **senior member of centre staff**, the head of centre retains overall responsibility for the investigation. In selecting a suitable **senior member of centre staff** the head of centre **MUST** take all reasonable steps to avoid a conflict of interest.

Where a conflict of interest may be seen to arise, investigations into suspect 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 head of centre should contact CCS TRAINING as soon as possible to discuss the matter.

- 6.4 If a centre is reporting the suspected malpractice CCS TRAINING recommend that, as a minimum the centre provides the accused individuals with a completed copy of the form or letter used to notify CCS TRAINING of the malpractice.

Reference should also be made to section 6.14 which deals with the rights of the accused individuals.

- 6.5 Where the person conducting the investigation deems it necessary to interview a student or a member of staff in connection with an alleged malpractice, the interviews must be conducted in accordance with the centre's own policy for conducting disciplinary enquiries.

- 6.6 The involvement of legal advisers is not necessary, at least where is no allegation of criminal behaviour.

However, if any party wishes to be accompanied by a solicitor or trade union official, the other parties must be informed beforehand to give them the opportunity to be similarly supported. CCS TRAINING will not be liable for any professional fees incurred.

The head of centre is required to make available an appropriate venue for such interviews. Interviews may also be conducted over the telephone. Individuals involved may be requested to provide a written statement

Persons conducting an investigation should refer to Appendix 2

Investigations carried out by CCS TRAINING

- 6.7 CCS TRAINING will not normally withhold from the head of centre any evidence or material obtained or created during the course of an investigation into an allegation of malpractice.

However, it may do so where this would involve disclosing the identity of an informant who has asked for his/her identity to remain confidential. In such cases, CCS TRAINING will provide the evidence and material and will withhold information that would reveal the person's identity and will explain why the withheld information cannot be provided.

Any material or evidence not provided to the head of centre will not be provided to a Malpractice Committee and will not be considered when deciding whether an allegation of malpractice is proven or not.

- 6.8 If investigators reveal that students had prior knowledge of the content of an examination CCS TRAINING must establish whether information could have been divulged to students at other centres or to other unauthorised persons.
- 6.9 Sometimes it is necessary for CCS TRAINING to interview a student during an investigation. If the student is a vulnerable adult and if the interview is to be conducted face to face CCS TRAINING will undertake to do this only in the presence of the head of centre, or other senior member of staff or the student's carer or with the permission of the head of centre or carer.
- 6.10 Interviews may also be conducted over the telephone.
- 6.11 When it is necessary for a member of CCS TRAINING to conduct an interview with a staff member, the member of staff being interviewed may be accompanied by a friend or advisor (who may be a representative of another association).
- 6.12 If the individual being interviewed wishes to be accompanied by a legal advisor the other parties must be informed beforehand to give them the opportunity to be similarly supported.
- The head of centre will be required to make available an appropriate venue for such interviews.
- 6.13 The individual being interviewed may also be requested to provide a written statement

Rights of the accused individuals

- 6.14 When, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual whether a student or a member of staff accused of malpractice MUST:
- Be informed (preferably in writing) of the allegation made against him or her
 - Be advised that a copy of CCS TRAINING'S Suspected Malpractice in Examinations can be found on the CCS TRAINING website.
 - Know what evidence there is to support that allegation
 - Know the possible consequences should malpractice be proven
 - Have the opportunity to consider their response to the allegations (if required)
 - Have an opportunity to submit a written statement
 - Be informed that he/she will have the opportunity to read the submission and make an additional statement in response, should the case be put to the Malpractice Committee
 - Have an opportunity to seek advice (as necessary) and to provide a supplementary statement (if required)
 - Be informed of the applicable appeals procedure, should a decision be made against him or her
 - Be informed of the possibility that information relating to a serious case of malpractice may be shared with other awarding bodies, the Police and/or professional bodies
- 6.15 **Responsibility for informing the accused individual rests with the head of centre.** In certain circumstances it may be necessary for the head of centre to exercise discretion, in the light of all the circumstances of the case, as to the timing and the means by which an allegation of malpractice and the supporting evidence is present to the individual(s) involved.
- 6.16 Full details of CCS TRAINING's appeals procedure will be sent to the head of centre involved in an appeal (see section 14)

7 – THE REPORT

7.1 After investigating an allegation of malpractice the head of centre must submit a full written Report of the case to CCS TRAINING

7.2 The report should be accompanied by the following documentation, as appropriate:

- A statement of the facts, a detailed account of the circumstances of the alleged malpractice and details of any investigations carried out by the centre
- Written statement from the invigilator or other staff who are involved
- Written statement(s) from the student(s)
- Any mitigating factors
- About the centre's procedures for advising students of CCS TRAINING'S regulations
- Seating plans showing the exact position of the student in the examination room
- Unauthorised material found in the examination room
- Any work of the student and any associated material (e.g source material for coursework) which is relevant to the investigation

7.3 **Form CCS TRAININGMALCAN1 or form CCS TRAININGMALCEN2** should be used as the basis of the Report

Forms are available on the CCS TRAINING website. Reports in letter format will be accepted providing the information given covers the same points as the form.

7.4 CCS TRAINING will decide on the basis of the Report and any supporting documentation whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly.

8 – THE DECISION

The Malpractice Committee

- 8.1 In order to determine the outcomes in cases of alleged malpractice CCS TRAINING may appoint a Panel or Committee composed of internal and/or external members experienced in examination and assessment procedures. Alternatively, this function may be allocated to a named member or members of staff. In this document the Committee (or CCS TRAINING personnel responsible for making decisions in malpractice cases) is referred to as the "Malpractice Committee".
- 8.2 The following applies to the activities of the Malpractice Committee (or to the personnel acting in this capacity):
- The work of the Malpractice Committee is confidential
 - Members of the Malpractice Committee are required to identify any case of which they have personal knowledge or might be said to have some interest which could lead to an inference that the committee has been biased. Any member with a close personal interest will take no part in the discussion of the case and will not be present when the Malpractice Committee discusses the matter.
 - Accused individuals, heads of centre and their representatives are not entitled to be present at meetings of the Malpractice Committee.
- 8.3 The key principle underpinning the composition of the Malpractice Committee is that it is independent of those who have conducted the investigation.
- 8.4 CCS TRAINING staff who have directly investigated the case will play no role in the decision making process.
- 8.5 No one who declares an interest in the outcome of the case will be present in the room when the case is considered.
- 8.6 Information supplied to the Malpractice Committee will be only that which is directly relevant to the case under consideration and which has been made available to the person against whom the allegation has been made, subject to redaction (censoring or obscuring text for legal/security purposes)

The person against whom the allegation has been made will be given the opportunity to make a statement to the Malpractice Committee in light of the material provided.

Making the decision – overview

- 8.7 In making a decision on any Report the Malpractice Committee will establish that correct procedures have been followed in the investigation of the case and that all individuals involved have been given the opportunity to make a written statement.
- 8.8 If satisfied the Malpractice Committee will then seek to determine:
- Whether the examination and assessment regulations have been broken
 - Where the culpability lies for the breach of regulations
- 8.9 If the Malpractice Committee is satisfied that there is sufficient evidence that malpractice has occurred, the Committee will then determine:
- Appropriate measures to be taken to protect the integrity of the examination or assessment and to prevent future breaches
 - The nature of any sanction or penalty to be applied
- 8.10 Each case of suspected malpractice will be considered and judged on an individual basis in the light of all information available. Where there is an established clearly evidenced repeated pattern of behaviour this may be taken into consideration when determining whether a sanction should be applied.

The Malpractice Committee will seek to make decisions unanimously but if necessary may decide by a majority.

- 8.11 The Malpractice Committee will consider, as separate issues:
- Whether or not there has been malpractice and
 - If malpractice is established, whether a sanction should be applied
- 8.12 when making a decision in a case the Malpractice Committee will:
- Identify the regulation or specification requirement which it is alleged has been broken
 - Establish the facts of the case. Where there are conflicting statements the decision as to whether or not there has been malpractice is made by reference to the facts as disclosed by the papers, independent of any decision on sanctions
 - Decide whether the facts as so established actually breach the regulations or specification requirements
- If a breach of regulations has occurred, the Malpractice Committee will establish who is responsible for this and
- Consider any points in mitigation
 - Determine an appropriate level of sanction or penalty considering the least severe penalty first

- 8.13 The Malpractice Committee must be satisfied from the evidence before it that on the balance of probabilities the alleged malpractice occurred (i.e. that it is more likely than not). It is possible that the evidence in some cases may be inconclusive but CCS TRAINING may decline to accept the work of the students in order to protect the integrity of the qualification for the majority.
- 8.14 In situations where a case is deferred because the Committee requires further information in order to make a determination, the deferral and the nature of the request will be shared with the investigation team and the individual against whom the allegation has been made.
- 8.15 In straightforward cases where the evidence is not contested or in doubt CCS TRAINING may invoke a summary procedure. A sanction or sanctions may be applied and notified to an individual or centre following consideration of the case by a member of CCS TRAINING staff.

Sanctions and penalties applied under this summary procedure are subject to appeal, as are all other sanctions and penalties resulting from cases of malpractice.

9 – SANCTIONS AND PENALTIES

9.1 CCS TRAINING imposes sanctions and penalties on individuals and on centres responsible for malpractice in order to:

- Minimise the risk to the integrity of examinations both in the present and in the future
- Maintain the confidence of the public in the delivery of qualifications
- Ensure as a minimum that there is nothing to gain from breaking the regulations
- Deter others from doing likewise

9.2 CCS TRAINING will normally impose sanctions and penalties to individuals found guilty of malpractice. These will usually be the student(s) or the responsible member(s) of staff.

However, when malpractice is judged to be the result of a serious management failure within a department or the whole centre, CCS TRAINING may apply sanctions against the whole department or centre.

In these cases CCS TRAINING may make special arrangements to safeguard the interests of students who might otherwise be adversely affected.

9.3 CCS TRAINING will endeavour to protect students who through no fault of their own are caught up in a malpractice incident.

It should however, be accepted that there may be instances where the work submitted for projects does not represent the efforts of the individual students and it may not be possible to give those students a result or permit a result to be retained.

When considering the action to be taken. CCS TRAINING will balance responsibilities towards the rest of the cohort and the individuals caught up in the malpractice incident.

Results may also not be issued or may be revoked in cases where malpractice has occurred but it was not established clearly who was to blame.

As the integrity of the examination has potentially been undermined CCS TRAINING considers it would be unsafe to make awards or permit awards to be retained.

9.4 In cases where it is not reasonable or possible to determine responsibility for malpractice and where it is clear that the integrity of the examination has been impaired in respect of an individual or individuals CCS TRAINING may decide not to accept the work submitted or undertaken for projects or may decide it would be unsafe to make awards or permit awards to be retained.

In these cases the student(s) may retake the examination/project at the next opportunity.

- 9.5 CCS TRAINING has agreed that sanctions and penalties will be chosen from a defined range in order to reflect the particular circumstances of each case and any mitigating factors. The agreed level of sanction or penalty for a particular offence is set out in **Appendices 3 and 4**.
- 9.6 CCS TRAINING reserve the right to apply sanctions and penalties flexibly, outside of the defined ranges if particular mitigating or aggravating circumstances are found to exist.
- 9.7 As no assumptions can be made about the intentions underlying an individual's actions sanctions and penalties will be based only on the evidence available.
- 9.8 All sanctions and penalties must be justifiable and reasonable in their scale and consistent in their application.
- 9.9 If the examination is one of a series, sanctions and penalties will only apply to the series in which the offence has been committed and possible future series. (If the evidence comes to light some considerable time after the offence, a sanction or penalty may still be applied to the series in which the offence was committed and later series)
- 9.10 A permanent record will be kept of the effect of any sanctions or penalties on an individual's results

All other information relating to specific instances of malpractice or irregularities will be destroyed after seven years.

- 9.11 Heads of centre should inform those individuals found guilty of malpractice that information may be passed onto other awarding bodies and/or other appropriate authorities.

This information will typically be the names and offences of those found guilty of breaching the published regulations.

10 – SANCTIONS AND PENALTIES FOR CENTRE STAFF MALPRACTICE – INDIVIDUALS

- 10.1 In cases of centre staff malpractice the primary role of CCS TRAINING is confined to considering whether the integrity of its examinations has been placed in jeopardy.

CCS TRAINING will consider whether that integrity might be jeopardised if an individual found to have indulged in malpractice were to be involved in the future conduct, supervision or administration of CCS TRAINING's examinations.

- 10.2 It is not the role of CCS TRAINING to be involved in any matter affecting the member of staff's or contractors contractual relationship with his/her employer or engager.

CCS TRAINING recognise that employers may take a different view of an allegation to that determined by CCS TRAINING or its Malpractice Committee.

An employer may wish to finalise its decision after CCS TRAINING or its Malpractice Committee has reached its conclusion.

- 10.3 In determining the appropriate sanction or penalty CCS TRAINING will consider factors including:

- The potential risk to the integrity of the examination
- The potential adverse impact on students
- The number of students and/or centres affected AND
- The potential risk to those relying on the qualification

CCS TRAINING may consider at its discretion mitigating factors supported by appropriate evidence. Ignorance of the regulations will not by itself be considered a mitigating factor.

- 10.4 **These penalties may be applied individually or in combination**

- 10.5 Where a member of staff or contractor has been found guilty of malpractice CCS TRAINING may impose the following sanctions or penalties:

1 – Written warning

Issue the member of staff with a written warning that if the offence is repeated within a set period of time, further specified sanctions will be applied

2 – Training

Require the member of staff as a condition of further involvement in its examinations to undertake specific training or mentoring within a particular period of time and a review process at the end of the training.

3 – Special conditions

Impose special conditions on the future involvement in its examinations by the member of staff, whether this involves the internal assessment, the conduct, supervision or administration of its examinations.

4 – Suspension

Bar the member of staff from all involvement in the delivery or administration of its examinations for a set period of time. Other awarding bodies and the regulators will be informed when a suspension is imposed.

- 10.6 These sanctions will be notified to the head of centre who will be required to ensure that they are carried out.

- 10.7 **If a member of staff moved to another centre while being the subject to a sanction, the head of centre must notify CCS TRAINING of the move.**

CCS TRAINING reserves the right to inform the head of centre to which the staff member is moving to as to the nature of and the reason for the sanction.

11 – SANCTIONS FOR CENTRE STAFF MALPRACTICE – CENTRES

- 11.1 CCS TRAINING will determine the application of a sanction according to the evidence present, the nature and circumstances of the malpractice and the type of qualification involved.
- 11.2 These penalties may be applied individually or in combination. The table in **Appendix 3** shows how the sanctions might be applied.
- 11.3 CCS TRAINING may at their discretion impose the following sanctions against centres:

1 – Written warning

A letter to the head of centre advising of the breach (including the Report) and advising of the further action that may be taken (including the application of penalties and special conditions) should there be a recurrence of the breach or subsequent breaches at the centre.

2 – Review and Report (Action Plans)

The head of centre will be required to review the centre's procedures for the conduct or administration of a particular examination or all examinations in general.

The head of centre will additionally be required to report back to CCS TRAINING on improvements implemented by a set date.

Alternatively an action plan will be agreed between CCS TRAINING and the centre and will need to be implemented as a condition of continuing to accept entries or registrations from the centre.

3 – Additional monitoring or inspection

CCS TRAINING may increase, at the centre's expense, the normal level of monitoring that takes place in relation to the qualification(s).

4 – Restrictions on examination materials

For a specified period of time a centre will be provided with examination papers shortly before such papers are scheduled to be used.

These papers will be opened and distributed under the supervision of CCS TRAINING's representative (or appointed agent) responsible for the delivery.

The centre might also be required to hand over to CCS TRAINING'S representative (or appointed agent) the completed scripts and any relevant accompanying documentation as opposed to using the normal script collection or despatch procedures.

These measures may be applied for selected subjects or all subjects.

5 – Independent invigilators

The appointment for a specified period of time, at the centre's expense, of independent invigilators to ensure the conduct of examinations is in accordance with the published regulations.

6 – Suspension of student registrations

CCS TRAINING may for a period of time or until a specific matter has been rectified refuse to accept student registrations from a centre. This may be applied for selected subject areas or all subject areas.

7 – Suspension of certification

CCS TRAINING may for a period of time or until a specific matter has been rectified refuse to issue certificates to students from a centre.

8 – Withdrawal of approval for a specific qualification(s)

CCS TRAINING may withdraw the approval of a centre to offer one or more qualifications issued by CCS TRAINING.

9 – Withdrawal of centre recognition

CCS TRAINING may withdraw recognition or approval for the centre.

This means as a result that the centre will not be able to deliver or offer students the respective CCS TRAINING qualifications.

The regulators, awarding bodies and other appropriate authorities will be informed of this action.

At the time of withdrawal of centre recognition a centre will be informed of the earliest date at which it can re-apply for registration and any measures it will need to take prior to this application.

Centres which have had centre recognition withdrawn should not assume that re-approval will be treated as a formality.

- 11.4 Any expense incurred in ensuring compliance with the penalties and/or special conditions must be borne by the centre.
- 11.5 If the head of centre leaves whilst the centre is subject to any sanctions or special measures CCS TRAINING will if approached to do so, review the need for the continuation of these measures with the new head of centre.

12 – SANCTIONS AND PENALTIES APPLIED AGAINST STUDENTS

- 12.1 CCS TRAINING will determine the application of a sanction or penalty according to the evidence presented, the nature and circumstances of the malpractice and the type qualification involved.
Not all the sanctions and penalties are appropriate to every type of qualification or circumstance
- 12.2 These penalties may be applied individually or in combination.
The table in **Appendix 4** shows how the sanctions and penalties might be applied
- 12.3 CCS TRAINING may at their discretion impose the following sanctions against students

1 – Warning

The student is issued with a warning that if the offence is repeated within a set period of time, further specified sanctions will be applied.

2 – Loss of marks for a section

The student loses all the marks gained for a discrete section of the work. A section may be part of a component.

3 – Loss of marks for a component

The student loses all the marks gained for a component.
A component is more often a feature of linear qualifications than a unitised qualification and so this penalty can be regarded as an alternative to penalty 4
Some units may also have components, in which case a level of penalty between numbers 2 and 4 is possible.

4 – Loss of all marks for a unit

The student loses all the marks gained for a unit
This penalty can only be applied to qualifications which are unitised

5 – Disqualification from a unit

The student is disqualified from the unit
This penalty is only available if the qualification is unitised

6 – Disqualification from all units in one or more qualifications

If circumstances suggest penalty 5 may be applied to other units taken during the same examination – (units which have been banked in previous examinations series are retained)
This penalty is only available if the qualification is unitised

7 – Disqualification from a whole qualification

The student is disqualified from the whole qualification taken in that series

This penalty can be applied to unitised qualifications only if the student has requested aggregation. Any units banked in a previous series are retained but the units taken in the present series and the aggregation opportunity are lost. If a student has not requested aggregation the option is penalty 6.

8 – Disqualification from all qualifications taken in that series

If circumstances suggest penalty 7 may be applied to other qualifications.

This penalty can be applied to unitised qualifications only if the students has requested aggregation.

Any units banked in a previous series are retained, but the units taken in the present series and the aggregation opportunity are lost.

If a student has not requested aggregation the option is penalty 6.

9 – Student debarral

The student is barred from entering for one or more examinations for a set period of time. This penal is applied in conjunction with any of the other penalties above, if the circumstances warrant it.

- 12.4 Unless a penalty is accompanied by a bar on future entry all students penalised by loss of marks or disqualification may retake the units affected in the next examination series.
- 12.5 Heads of centre may wish to take further action themselves in cases of student malpractice.

13 – COMMUNICATING DECISIONS

- 13.1 Once a decision has been made it will be communicated in writing to the head of centre as soon as possible.

It is the responsibility of the head of centre to communicate the decision to the individuals concerned and to pass on warnings in cases where this is indicated.

- 13.2 The majority of cases of malpractice are confidential between the individual centre and CCS TRAINING

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

- The regulators
- Any other awarding bodies and
- Other centre where the malpractice may affect the delivery of CCS TRAINING'S qualifications

- 13.3 In serious cases of centre staff malpractice CCS TRAINING reserve the right to share information with other awarding bodies.

- 13.4 **It is the responsibility of the head of centre to inform the accused individual that CCS TRAINING may share information in accordance with paragraphs 13.2 and 13.3**

14 – APPEALS

14.1 CCS TRAINING have established procedures for considering appeals against penalties arising from malpractice decisions.

The following individuals have a right to appeal against decisions of the Malpractice Committee or officers acting on its behalf

- Heads of centre who may appeal against sanctions imposed on the centre or on centre staff, as well as on behalf of students entered or registered through the centre
- Members of centre staff, or examining personnel contracted to a centre, who may appeal against sanctions imposed on them personally

14.2 Information on the process for submitting an appeal will be sent to all centres involved in malpractice decisions

14.3 Further information may be found on the CCS TRAINING website

Appendix 1

Examples of malpractice

The following are examples of malpractice. THIS IS NOT AN EXHAUSTIVE LIST and as such does not limited the scope of the definitions set out earlier in this document.

Other instances of malpractice may be identified and considered by CCS TRAINING at their discretion.

PART 1 – CENTRE STAFF MALPRACTICE

Breach of security

Any act which breaks the confidentiality of question papers or materials – their electronic equivalents – the confidentiality of student's scripts or their electronic equivalents.

This could involve:

- Failing to keep examination material secure prior to an examination
- Discussing or otherwise revealing secure information in public – e.g internet forums
- Moving the time or date of an examination beyond the arrangements made with CCS TRAINING. Conducting an examination before the published date constitutes centre staff malpractice and a clear breach of security
- Failing to supervise adequately students who have been affected by a timetable variation – (this would apply to when an examination is to be sat in an earlier or later session on the scheduled day)
- Permitting, facilitating or obtaining unauthorised access to examination material prior to an examination
- Failing to retain and secure examination question papers after an examination in cases where the life of the paper extends beyond the particular session – for example where an examination is to be sat in a later session by one or more students due to a timetable variation
- Tampering with student scripts after collection and before despatch to CCS TRAINING – this would additionally include reading student scripts or photocopying student scripts prior to despatch to CCS TRAINING, the only instance where photocopying a student's script is permissible is where he/she has been granted the use of a transcript

Deception

Any act of dishonesty in relation to an examination but not limited to:

- Fabricating assessment records or authentication statements
- Entering fictitious students for examinations or otherwise subverting the certification process with the intention of financial gain (fraud)
- Substituting one students examination or project for another

Improper assistance to students

Any act where assistance is given beyond that permitted by the specification or regulations to a student or group of students which results in a potential or actual advantage in an examination.

For example:

- Assisting students in the production of projects
- Sharing or lending students projects with other students in a way which allows malpractice to take place
- Assisting or prompting students with the production of answers
- Permitting students in an examination to access prohibited materials
- Prompting students in an examination by means of signs or verbal or written prompts

Maladministration

Failure to adhere to the regulations regarding the conduct of controlled examinations or malpractice in the conduct of the examinations and/or the handling of examination questions papers and student scripts.

For example:

- Failing to ensure that students projects to be completed under controlled conditions is adequately monitored and supervised
- Failure to train invigilators adequately leading to non-compliance with CCS TRAINING's *Instructions for conducting examinations*
- Failing to issue to students the appropriate notices and warnings
- Failure to inform CCS TRAINING of alternatives sites for examinations
- Failing to post notices relating to examination outside all rooms where examinations are held
- Not ensuring that the examination venue confirms to the requirements as stipulated in CCS TRAINING *Instructions for conducting examinations*
- The introduction of unauthorised material into the examination room, either prior to or during the examination
- Failing 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 examinations in accordance with CCS TRAINING *Instructions for conducting examinations*
- Failure to keep accurate records in relation to very late arrivals
- Granting access arrangements to students who do not meet the requirements of the *Access Arrangements and Reasonable Adjustments*
- Failure to supervise effectively the printing of computer based assignments when this is required
- Failing to retain students projects in secure conditions after the authentication statements have been signed or the work has been marked
- Failing to maintain the security of students scripts prior to despatch to CCS TRAINING
- Failing to despatch students scripts to CCS TRAINING in a timely way
- Failing to notify CCS TRAINING of an instance of suspected malpractice in examinations as soon as possible after such an instance occurs or is discovered
- Failing to conduct a thorough investigation into suspected examination malpractice when asked to do so by CCS TRAINING
- The inappropriate retention or destruction of certificates

PART 2 – STUDENT MALPRACTICE

For example:

- The alteration or falsification of any results document including certificates
- A breach of the instructions or advice of an invigilator, supervisor or CCS TRAINING in relation to the examination rules and regulations
- Failing to abide by the conditions of supervision designed to maintain the security of the examinations
- Collusion working collaboratively with other students beyond what is permitted
- Copying from another student – including the use of IT to aid the copying
- Allowing work to be copied e.g. posting written projects on social networking sites or coursework prior to an examination
- The deliberate destruction of another students work
- Disruptive behaviour in the examination room or during a study period prior to an exam – includes the use of offensive language
- Exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examination related by means of talking, electronic, written or non-verbal communication
- Making a false declaration of authenticity in relation to the authorship of projects/coursework
- Allowing others to assist in the production of controlled projects or coursework or assisting others in the production of projects
- The misuse or the attempted misuse of examination materials and resources
- Being in possession of confidential material in advance of the examination
- The inclusion of inappropriate offensive or obscene material in scripts
- **Impersonation** – pretending to be someone else, arranging for another person to take one's place in an examination
- **Plagiarism** – unacknowledged copying from published sources or incomplete referencing
- Theft of another students work
- Bringing into the examination room unauthorised material for example – notes, study guides and personal organisers, own blank paper, instruments which can capture a digital image, electronic dictionaries, translators, wordlists, glossaries, iPods, mobile phones, MP3/4 players, pagers or other similar electronic devices
- The unauthorised use of a memory stick where a student is allowed to use a word processor (when these will be allowed in the future)
- Behaving in a manner so as to undermine the integrity of the examination

Appendix 2

A guide to investigating an allegation of malpractice

CCS TRAINING required the person investigating an allegation of malpractice within the centre to organise an investigation into the alleged malpractice and then submit a response to CCS TRAINING.

The investigation should determine:

- Who was involved in the incident including students, members of staff and/or invigilators
- The facts of the case as established from the evidence and/or statements from those involved

The report submitted to CCS TRAINING should include:

- A clear account, as detailed as necessary, of the circumstances
- Details of the investigation carried out by the centre
- Written statements from any trainers, invigilators or other members of staff concerned, which MUST be signed and dated
- Written statements from the students concerned, which MUST be signed and dated

Where appropriate

- Information about how the centre makes students aware of CCS TRAINING'S regulations
- Seating plans
- Any unauthorised material found in the examination room
- Photographic evidence of any material written on hands / clothing etc.
- Any student's work / associated material which is relevant to the investigation
- Any other relevant evidence

Individuals accused of malpractice MUST be made fully aware at the earliest opportunity of the nature of the allegation, preferably in writing, and the possible consequences should malpractice be proven. They MUST also be given the opportunity to respond, preferably in writing to the allegation made against them.

Form CCS TRAININGMALCEN2 which can be found on the website and MUST be used as the basis of the report. The checklist at the end of the form needs to be completed and submitted with the report.

If an allegation is delegated to another member of centre staff, the head of centre retains overall responsibility for the investigation.

In selecting a suitable member of staff the head of centre MUST take all reasonable steps to avoid a conflict of interest.

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.

Guidelines on the procedures for dealing with instances of suspected malpractice are detailed in CCS TRAINING's Malpractice policy which can be downloaded from the website.

Reports, evidence and supporting statements MUST be sent to CCS TRAINING.

Please do not hesitate to contact CCS TRAINING for advice and guidance should you at any stage be unsure of what to do.

Appendix 3

Indicative sanctions against centres

Proposed sanction	Broad reason for sanction
Written warning	Minor non-compliance with the regulations or maladministration with no direct or immediate threat to the integrity of an examination
Review and report (Action plans)	A breach of procedures or regulations which if left unchecked could result in a threat to the examination
Additional monitoring or inspection	A failure of the centre's systems resulting in poor management of the examination or inadequate invigilation
Restrictions on examination materials	A failure to maintain the security of examination materials
The deployment of independent invigilators	A loss of confidence in the centre's ability to invigilate examinations
Suspension of candidate registrations	Threat to the interest of students registered on the qualification
Withdrawal of approval for specific qualification(s)	Repeated breach of the regulations relating to a specific qualification. Alternatively, a breakdown in management and quality assurance arrangements for a specific qualification
Withdrawal of centre recognition	<p>Loss of confidence in the head of centre or senior management of the centre</p> <p>Breakdown in management and quality assurance arrangements for some or all accredited qualifications offered by the centre</p> <p>A failure to co-operate with CCS TRAINING's requests to thoroughly investigate suspected malpractice</p> <p>A failure to implement a specified action plan</p>

Table of offences graded according to levels of seriousness and showing appropriate ranges of penalties applied to students

Note: In instances where the box is blank the penalty may be used

Type of offence	Warning (Penalty 1)	Loss of marks (Aggregation still permitted) (Penalties 2 - 4)	Loss of aggregation or certification opportunity (Penalties 5 - 9)
Introduction of unauthorised material into the examination room, for example:			
Own blank paper	Used for rough work	Used for final answers	
Calculators, dictionaries (when prohibited)	Not used	Used or attempted to use	
Notes, study guides and personal organisers	Notes irrelevant to subject	Notes relevant to subject	Notes relevant to subject and evidence of use
Mobile phone or other similar electronic devices (including iPhone, iPod, MP3/4 player)	Not in the students possession but makes a noise in the examination room	In the student's possession but no evidence of being used by the student	In the student's possession and evidence of it being used by the student
Standard penalties:			
1 warning 2 loss of marks gained for a section 3 loss of all the marks gained for a component 4 loss of all the marks gained for a unit 5 disqualification from the unit		6 disqualification from all units in one or more qualifications taken in the series 7 disqualification from the whole qualification 8 disqualification from all qualifications taken in that series 9 barred from entering for examinations for a set period of time	

Type of offence	Warning (Penalty 1)	Loss of marks (Aggregation still permitted) (Penalties 2 – 4)	Loss of aggregation or certification opportunity (Penalties 5 – 9)
Breaches of examination conditions			
A breach of the instructions or advice of an invigilator, supervisor, or CCS TRAINING in relation to the examination rules and regulations	Minor non-compliance e.g. sitting in a non-designated seat, continuing to write for a short period after being told to stop	Major non-compliance e.g. refusing to move to designated seat, significant amount of writing after being told to stop	Repeated non-compliance
Failing to abide by the conditions of supervision designated to maintain the security and integrity of the examinations	Leaving examination early (no loss of integrity), removing script from the examination room but with proof that the script has not been impaired, breaching supervision (candidate unaware of regulations)	Removing script from examination room but with no proof that the script is safe Taking home materials	Deliberately breaking class supervision Removing script from the examination room and with proof that the script has been tampered with Leaving examination room early so integrity is impaired
Disruptive behaviour in the examination room (including the use of offensive language)	Minor disruption lasting short period of time Calling out, causing noise, turning around	Repeated or prolonged disruption Unacceptably rude remarks Being removed from the room Taking another's possessions	Warnings ignored Provocative or aggravated behaviour Repeated or loud offensive comments Physical assault on staff or property
Standard penalties:			
<ul style="list-style-type: none"> 1 warning 2 loss of marks gained for a section 3 loss of all the marks gained for a component 4 loss of all the marks gained for a unit 5 disqualification from the unit 		<ul style="list-style-type: none"> 6 disqualification from all units in one or more qualifications taken in the series 7 disqualification from the whole qualification 8 disqualification from all qualifications taken in that series 9 barred from entering for examinations for a set period of time 	

Type of offence	Warning (Penalty 1)	Loss of marks (Aggregation still permitted) (Penalties 2 – 4)	Loss of aggregation or certification opportunity (Penalties 5 – 9)
Exchanging, obtaining, receiving or passing information which could be examination related (or the attempt to)			
Talking	Isolated incidents of talking before start of exam or after papers have been collected	Talking during exam about matters not related to exam Accepting exam related information	Talking about exam related matters during the exam Whispering answers to questions
Written communication	Passing written communication (notes) which clearly have no bearing on the examination	Accepting exam related information	Passing exam related notes to other students Helping one another Swapping scripts
Social media		Accepting exam related information without reporting it to CCS TRAINING	Passing or distributing exam related information to others
Offences relating to the content of student's work			
The inclusion of inappropriate offensive or obscene material in scripts, controlled projects	Isolated words or drawings, mildly offensive, inappropriate approaches or responses	Frequent mild obscenities or drawings Isolated strong obscenity Isolated mild obscenities or mildly offensive comments aimed at the examiner or member of staff	Offensive comments or obscenities aimed at a member of staff, examiner or religious group, racist or lewd remarks or drawings
Standard penalties:			
1 warning 2 loss of marks gained for a section 3 loss of all the marks gained for a component 4 loss of all the marks gained for a unit 5 disqualification from the unit		6 disqualification from all units in one or more qualifications taken in the series 7 disqualification from the whole qualification 8 disqualification from all qualifications taken in that series 9 barred from entering for examinations for a set period of time	

Type of offence	Warning (Penalty 1)	Loss of marks (Aggregation still permitted) (Penalties 2 – 4)	Loss of aggregation or certification opportunity (Penalties 5 – 9)
Collusion: working collaboratively with other students beyond what is permitted	Collaborative work is apparent in a few areas – but possibly due to teacher advice Candidate unaware of the regulations	Collaborative work begins to affect the examiner's ability to award a fair mark to an individual student	Student's work reflects extensive similarities and identical passages, possibly due to a deliberate attempt to share work
Plagiarism: unacknowledged copying from published sources (including the internet) Incomplete referencing		Plagiarism from published work listed in the bibliography or Minor amount of plagiarism from a source not listed in the bibliography	Plagiarism from published work not listed in the bibliography or Plagiarised text consists of the substance of the work submitted and the source is listed in the bibliography
Making a false declaration of authenticity		Sections of work done by others but most still the work of the student	Most or all of the work is not that of the student
Copying from another student (including the misuse of IT)	Lending coursework, not knowing it would be copied	Permitting examination script / coursework to be copied Showing other students the answers	Copying from another student's script / coursework Borrowing coursework to copy
Undermining the integrity of examinations			
The deliberate destruction of work		Defacing scripts Destruction of students own work	Significant destruction of another students work
The alteration or falsification of any results document, including certificates			Falsification / forgery
Standard penalties			
1 warning 2 loss of marks gained for a section 3 loss of all the marks gained for a component 4 loss of all the marks gained for a unit 5 disqualification from the unit		6 disqualification from all units in one or more qualifications taken in the series 7 disqualification from the whole qualification 8 disqualification from all qualifications taken in that series 9 barred from entering for examinations for a set period of time	

Type of offence	Warning (Penalty 1)	Loss of marks (Aggregation still permitted) (Penalties 2 – 4)	Loss of aggregation or certification opportunity (Penalties 5 – 9)
Misuse of, or attempted misuse of, examination material and resources			Misuse of examination material or exam related information including: Attempting to gain or gaining prior knowledge of examination information Improper disclosure (including electronic means) Receipt of examination information or removal of secure information from the examination room
Theft (where the student's work is removed or stolen)			Taking somebody else's work (project / coursework) to pass it off as one's own
Personation			Deliberate use of wrong name or number Impersonating another individual Arranging to be impersonated
Behaving in a way as to undermine the integrity of the examination			For example: attempting to obtain certificates fraudulently Attempted bribery Attempting to obtain or supply exam materials fraudulently
Standard penalties:			
1 warning 2 loss of marks gained for a section 3 loss of all the marks gained for a component 4 loss of all the marks gained for a unit 5 disqualification from the unit		6 disqualification from all units in one or more qualifications taken in the series 7 disqualification from the whole qualification 8 disqualification from all qualifications taken in that series 9 barred from entering for examinations for a set period of time	

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