

Appendix 5

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

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

NOTE: The structure of awarding bodies' qualifications can differ and therefore all the available penalties may not be relevant for every qualification.

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	
Bringing into the exam room notes in the wrong format or prohibited annotations	notes/annotations go beyond what is permitted but do not give an advantage	notes/annotations are relevant and give an unfair advantage	notes/annotations introduced in a deliberate attempt to gain an advantage
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 iPod, MP3/4 player, Smartphone Smartwatch)	not in the candidate's possession but makes a noise in the examination room	in the candidate's possession but no evidence of being used by the candidate	in the candidate's possession and evidence of it being used by the candidate
Standard penalties:			
1	warning;	6	disqualification from all units in one or more qualifications taken in the series;
2	loss of marks gained for a section;	7	disqualification from the whole qualification;
3	loss of all the marks gained for a component;	8	disqualification from all qualifications taken in that series;
4	loss of all the marks gained for a unit;	9	barred from entering for examinations for a set period of time.
5	disqualification from the unit;		

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 the awarding body 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 designed 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 a timetable clash supervision arrangement; 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 or assessment session (including the use of offensive language)	minor disruption lasting short 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:			
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)
Exchanging, obtaining, receiving, or passing on information which could be examination related (or the attempt to):			
verbal communication	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 communications (notes) which clearly have no bearing on the exam	accepting exam-related information	passing exam related notes to other candidates; helping one another; swapping scripts
Offences relating to the content of candidates' work			
The inclusion of inappropriate, offensive or obscene material in scripts, controlled assessments, coursework, non-examination assessments or portfolios	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; homophobic, transphobic, racist or sexist remarks or lewd 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 candidates 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 candidate	candidates' work reflects extensive similarities and identical passages, possibly due to a deliberate attempt to share work
Plagiarism: unacknowledged copying from or reproduction of published sources (including the internet); incomplete referencing		plagiarism from published work listed in the bibliography or referenced; or minor amount of plagiarism from a source not listed in the bibliography or referenced	plagiarism from published work not listed in the bibliography or referenced; or plagiarised text consists of the substance of the work submitted and the source is listed in the bibliography or referenced
Making a false declaration of authenticity		sections of work done by others, but most still the work of the candidate	most or all of the work is not that of the candidate
Copying from another candidate (including the misuse of technology)	lending work not knowing it would be copied	permitting examination script/work to be copied; showing other candidates the answers	copying from another candidate's script, controlled assessment, coursework, non-examination assessment; borrowing work to copy
Undermining the integrity of examinations/assessments			
The deliberate destruction of work		defacing scripts; destruction of candidate's own work	significant destruction of another candidate's work
The alteration or falsification of any results document, including certificates			falsification/forgery
Standard penalties:			
1	warning;	6	disqualification from all units in one or more qualifications taken in the series;
2	loss of marks gained for a section;	7	disqualification from the whole qualification;
3	loss of all the marks gained for a component;	8	disqualification from all qualifications taken in that series;
4	loss of all the marks gained for a unit;	9	barred from entering for examinations for a set period of time.
5	disqualification from the unit;		

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, assessment material and resources	attempting to source assessment related information online	accepting assessment related information without reporting it to the awarding body	misuse of assessment material or exam related information, including: attempting to gain or gaining prior knowledge of assessment information; improper disclosure (including electronic means); receipt of assessment information or removal of secure information from the examination room; facilitating malpractice on the part of others; passing or distributing assessment related information to others
Theft (where the candidate's work is removed or stolen)			taking somebody else's work (e.g. 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/assessment			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.		