



# **Malpractice**

Guide to the data submission process

September 2019

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# Malpractice

## **Introduction**

In order to fulfil our regulatory and accreditation functions as set out in the Qualifications Wales Act 2015<sup>1</sup>, we require awarding bodies to provide exams data for regulated qualifications.

This guidance is based on Ofqual's *Guidance for malpractice*<sup>2</sup> document.

## **When will data be collected?**

Data will be collected according to the reporting schedule which is agreed and maintained by Qualifications Wales' statistics team.

## **What data will be collected?**

Malpractice data will be collected for GCSE, AS, A level, and Welsh Baccalaureate Qualification Skills Challenge Certificate.

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<sup>1</sup> <http://www.legislation.gov.uk/anaw/2015/5/contents/enacted>

<sup>2</sup> [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/750030/Guidance\\_for\\_malpractice.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/750030/Guidance_for_malpractice.pdf)

## General completion guidelines

- **Please upload one CSV file per exam series.** For example, if an awarding body has data for all three exam series (*January, June and November*), three CSV files should be uploaded - one for each series. Each exam series will have a separate submission point on QiW.
- This data return is for data relating to learners in Wales only.
- Please see appendix A (page 8) for further clarification of field values.
- Numeric values must not have any formatting.
- If the malpractice case is still open when the data is reported, '*case ongoing outcome TBD*' should be recorded in the **type of penalty** issued field, and:
  - if the awarding organisation does not record an offence at the beginning of the process, then '*case ongoing*' should be recorded in the **type of offence** field;
  - if the awarding organisation does record an offence at the beginning of the process, it should be entered into the **type of offence** field as normal (as per the agreed list – see appendix B).
- The value '*insufficient information*' should be entered into the **type of offence** field, for malpractice cases where the offence is unknown.
- In the event of systemic issues, where the specific subject information is unknown, i.e. Access Arrangements, Security Breaches, Maladministration or Other, then '*non-assessment specific*' should be entered in the **specification title** field. The value of '-2' should also be entered into other related fields if unknown, e.g. QAN, specification code, unit code etc.
- All malpractice cases that are investigated should be reported. If there is insufficient evidence to issue a penalty '*No evidence to substantiate allegation*' should be entered into the **type of penalty issued** field.
- Data for each exam series e.g. summer 2018, should only refer to sanctions applied for offences committed in that series. If, due to the length of an investigation, a sanction is applied in summer 2018, which related to an offence committed in summer 2017, the sanction should not be counted in the summer 2018 data, as the offence was committed in summer 2017. In this instance, awarding bodies should notify the statistics team, who will reopen the previous year's submission point to allow a revised file to be uploaded via QiW. To reduce the number of potential updates to data, any required updates to historic data should be made in November, when the current year's data is submitted.

## File format

The file must be CSV format and the first row must be headers as displayed in the 'Name' column of the table below. The subsequent rows must have the values of the data to be reported which must match the format and validation rules below.

| Name                        | Description   | Position | Validation Regular Expression                            | Description of Regular Expression   |
|-----------------------------|---|----------|--|---|
| Exam Series                 | Exam series data relates to e.g. June 2018  | 1        | ^(January June)([0-9][0-9][0-9][0-9])\$                  | Full month name of exam series and year   |
| Reporting date              | Date the file was due to be submitted regardless of when it was actually uploaded<br><br>Format accepted 120 ODBC canonical <b>yyyy-mm-dd</b> | 2        | ^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] [12][0-9] 3[01])\$ | The date in the following format:<br>year (four digits), a dash, month (two digits), a dash, day (two digits) |
| Awarding organisation       | Name of the awarding organisation   | 3        | ^{1,100}\$   | 1 to 100 characters accepted  |
| Malpractice case identifier | Unique case identifier  | 4        | ^{1,25}\$  | 1 to 25 characters accepted   |
| Centre No.                  | Centre number (NCN)   | 5        | ^\d{1,5}\$   | Up to five-digit integer accepted   |
| Type of malpractice         | To indicate type of malpractice   | 6        | ^(Candidate Centre Centre staff)\$                       | Accepted values:<br>Candidate, Centre, Centre staff   |
| Unique Candidate Identifier | Unique Candidate Identifier (UCI)   | 7        | ^{1,13}\$  | Alpha numeric 13 characters accepted<br><br><b>-2 also accepted for centre and centre staff malpractice</b>   |

|                     |   |    |            |   |
|---------------------|---|----|------------|---|
| Staff identifier    | Unique centre staff identifier (allocated by individual awarding organisations) | 8  | ^{1,50}\$  | 1 to 50 characters accepted<br><br><b>-2 also accepted for candidate malpractice, or where number of staff involved in case is unknown</b>  |
| QAN                 | Qualification Accreditation Number e.g. 123/1234/1                              | 9  | ^{1,10}\$  | 1 to 10 characters accepted<br><br><b>-2 also accepted for candidates not certificating, taking units that can be used against either AS or A level specifications</b>  |
| QWNumber            | QW Approval/ Designation Number, for example C00/1234/1                         | 10 | ^{1,10}\$  | 1 to 10 characters accepted, beginning with C.<br><br>A blank value is accepted if the qualification does not have a QW number<br><br><b>-2 also accepted for candidates not certificating, taking units that can be used against either AS or A level specifications</b> |
| Specification title | Specification title also known as subject title                                 | 11 | ^{1,150}\$ | 1 to 150 characters accepted<br><br><b>-2 also accepted for malpractice that is not specific to a subject</b>   |
| Specification code  | Specification code also known as Subject Award Code and Cash in Code            | 12 | ^{1,7}\$   | 1 to 7 characters accepted<br><br><b>-2 also accepted for malpractice that is not specific to a subject</b>   |

|                        |  |    |  |   |
|------------------------|--|----|--|---|
| Unit code              | Unit code  | 13 | ^.{1,10}\$   | 1 to 10 characters accepted<br><br><b>-2 also accepted for malpractice that is not specific to a subject</b>  |
| Qualification level    | Level of qualification e.g. GCSE                           | 14 | ^(GCSE GCSE linear GCSE short course GCSE full course AS A level App A Level Db App A Level Sgl App AS Db App AS Sgl GCE A level National/Foundation Skills Challenge Certificate Advanced Skills Challenge Certificate Foundation (post 16) Skills Challenge Certificate National (post 16) Skills Challenge Certificate)\$ | One of the following list: GCSE, GCSE linear, GCSE short course, GCSE full course, AS, A level, App A Level Db, App A Level Sgl, App AS Db, App AS Sgl, National/Foundation Skills Challenge Certificate, Advanced Skills Challenge Certificate, Foundation (post 16) Skills Challenge Certificate or National (post 16) Skills Challenge Certificate<br><br><b>GCE A level also accepted for candidates not certificating, taking units that can be used against either AS or A level specifications</b> |
| Assessment type        | To indicate type of assessment, internal or external       | 15 | ^(Internal External)\$   | <i>Internal or External</i> accepted  |
| Type of offence        | Description of offence as per pre-agreed list of offences  | 16 | Accepted values as per pre-agreed list of offences (see Appendix B)  | Accepted values list as per pre-agreed list of offences. <i>Case ongoing</i> and <i>insufficient information</i> also accepted  |
| Type of penalty issued | Description of penalty as per pre-agreed list of penalties | 17 | Accepted values as per pre-agreed list of penalties (see Appendix B)   | Accepted values as per pre-agreed list of penalties<br><br><i>Case ongoing outcome TBD</i> and <i>No evidence to substantiate allegation</i> also accepted  |

## Appendix A

| <b>Malpractice</b>          |   |  |
|-----------------------------|---|--|
| <b>Field Name</b>           | <b>Exemplar value</b>   | <b>Notes</b>   |
| Exam Series                 | June 2018   | Month followed by the year for each exam series, e.g. June 2018, November 2018   |
| Reporting date              | 2018-06-01  | Date in the following format: year (four digits), a dash, month (two digits), a dash, day (two digits)   |
| Awarding organisation       | AQA   | One to one hundred characters accepted   |
| Malpractice case identifier | tbc   | Unique awarding body identifier, where multiple staff, sanctions or offences are involved but are handled as one case - format dependant on awarding body. One to twenty five characters accepted  |
| Centre No.                  | 12345   | Five digit integer accepted  |
| Type of malpractice         | Candidate   | Accepted values: Candidate, Centre, Centre staff   |
| Unique Candidate Identifier | 123456789012B   | Alpha numeric - thirteen characters for candidate malpractice. -2 also accepted for centre or centre staff malpractice   |
| Staff identifier            | abc123  | Unique awarding body staff identifier. -2 accepted where number of staff in the case is unknown  |
| QAN                         | 123/1234/1  | Alpha Numeric - Qualification Accreditation Number or -2 for candidates not certificating, taking units that can be used against either AS or A level specifications   |
| QW Number                   | C00/1234/1  | Alpha Numeric beginning with C - Qualifications Wales Number. A blank value is accepted if the qualification does not have a QW number. -2 for candidates not certificating, taking units that can be used against either AS or A level specifications |
| Specification title         | Mathematics   | Specification title. One, to one hundred and fifty characters accepted. -2 accepted for candidates not certificating, taking units that can be used against multiple specifications  |
| Specification code          | 1650  | Also known as 'Subject Award Code' and 'Cash-in Code'. NB. Codes must exist on the JCQ classifications-entries spreadsheet. -2 accepted for candidates not certificating, taking units that can be used against either AS or A level specifications    |
| Unit code                   | 1234  | One to ten characters accepted   |
| Qualification level         | GCSE  | Accepted values; GCSE, AS, A-level and Welsh Baccaulaureate Qualification Skills Challenge Certificate. GCE A level also accepted for candidates not certificating, taking units that can be used against either AS or A level specifications          |
| Assessment type             | External  | Internal or external will be accepted  |
| Type of offence             | The alteration of any results document including certificates | Description of offence as per agreed list of offences e.g. The alteration of any results document including certificates   |
| Type of penalty issued      | Warning   | Description of penalty as per agreed list of penalties e.g. Loss of marks for a section. Note: 'No evidence to substantiate allegation' and 'Case ongoing outcome TBD'also accepted  |



## Appendix B

| Type of malpractice      | Type of offence - accepted values  |
|--------------------------|--|
| Centre /<br>Centre staff | Breach of security<br>Deception<br>Improper assistance to candidates<br>Failure to co-operate with an investigation<br>Maladministration<br>Failure to comply with regulations for Access Arrangements/Reasonable Adjustments/Special Consideration<br>Offence not proven<br>Case ongoing<br>Insufficient information  |
| Candidate                | The alteration of any results document including certificates<br>A breach of instructions or advice of an invigilator supervisor or the awarding body in relation to the examination rules and regulations<br>Failing to abide by the conditions of supervision designated to maintain the security of the examinations<br>Collusion working collaboratively with other candidates beyond what is permitted<br>Copying from another candidate including the misuse of ICT<br>Allowing work to be copied e.g. posting written coursework on social networking sites prior to an examination/assessment<br>The deliberate destruction of work<br>Disruptive behaviour in the examination room or assessment session including the use of offensive language<br>Exchanging obtaining receiving passing on information or the attempt to which could be examination related by means of - talking<br>Exchanging obtaining receiving passing on information or the attempt to which could be examination related by means of - electronic written or non-verbal communication<br>Making a false declaration of authenticity<br>Allowing others to assist in the production of controlled assessments coursework or assisting others in the production of controlled assessments or coursework<br>Misuse of or attempted misuse of examination material and resources<br>Being in possession of confidential material in advance of the examination<br>Bringing into the exam room notes in the wrong format or prohibited annotations<br>The inclusion of inappropriate offensive or obscene material in scripts coursework or portfolios<br>Impersonation pretending to be someone else arranging for another person to take ones place in an examination or an assessment<br>Plagiarism unacknowledged copying from published sources including the internet<br>incomplete referencing<br>Theft where the candidates work is removed or stolen<br>Introduction of unauthorised material into the examination room - Notes study guides and personal organisers<br>Introduction of unauthorised material into the examination room - Own blank paper<br>Introduction of unauthorised material into the examination room - Calculators dictionaries when prohibited<br>Introduction of unauthorised material into the examination room - Personal stereo including MP3 iPod or any other similar electronic devices<br>Introduction of unauthorised material into the examination room - Mobile phone or other electronic communicating devices<br>The unauthorised use of a memory stick or similar device where a candidate uses a word processor<br>Behaving in a way as to undermine the integrity of the examination<br>Offence not proven<br>Case ongoing<br>Insufficient information |

| Type of malpractice | Type of penalty issued - accepted values   |
|---------------------|--|
| Centre staff        | Written warning<br>Training<br>Special conditions<br>Suspension<br>No evidence to substantiate allegation<br>No penalty issued<br>Case ongoing outcome TBD   |
| Centre              | Written warning<br>Review and report<br>Approval of specific assessment tasks<br>Additional monitoring or inspection<br>Restrictions on examination and assessment materials<br>Independent invigilators<br>Suspension of candidate registrations or entries<br>Withdrawal of approval for a specific qualification<br>Withdrawal of centre recognition<br>No evidence to substantiate allegation<br>No penalty issued<br>Case ongoing outcome TBD |
| Candidate           | Warning<br>Loss of marks for a section<br>Loss of marks for a component<br>Loss of all marks for a unit<br>Disqualification from a unit<br>Disqualification from all units<br>Disqualification from whole qualification<br>Disqualification from all qualifications in series<br>Candidate debarral<br>No evidence to substantiate allegation<br>No penalty issued<br>Case ongoing outcome TBD   |

## Contacts

For all queries relating to the data collection process, amendments to data previously provided, or for general guidance, please contact:

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