



## QA 6.10 – CORK ETB Learner Assessment Malpractice Procedure

### **Purpose**

The purpose of this procedure is to:

- Ensure the integrity of the assessment process and the subsequent validity and currency of learners' results.
- Outline how to address and manage suspected learner malpractices promptly and consistently across Cork ETB.
- Ensure communication of such instances and thereby ensuring the process of continuous improvement and quality enhancement is facilitated.

### **Scope**

This procedure applies to all further education and training provision provided by Cork ETB colleges and centres or by organisations funded by CORK ETB to provide further education and training, whether accredited or unaccredited.

Where the procedures of an awarding body other than QQI differ from this procedure, the procedure of that other awarding body takes precedence.

This procedure does not cover assessment malpractice by staff. Where there are suspected cases of staff malpractice, it is the responsibility of Human Resources and senior ETB Management to process the investigation.

This document **does not** relate to assessment malpractices by an external provider that is directly quality assured with an Awarding Body, including apprenticeships, and whose contract with the Cork ETB requires the provider to independently adhere to the assessment regulation of that Awarding Body. In such instances, when Cork ETB becomes aware of an assessment malpractice, it will inform the appropriate Awarding Body of the alleged malpractice and assist in the investigation if required.

### **Responsibilities**

Everyone involved in assessment, from design to implementation, has a responsibility for ensuring the integrity and validity of Cork ETB Assessment Procedures.

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All staff must ensure that they are aware of policies and procedure in relation to:

- planning for assessment
- conducting of assessment
- conclusion of assessment

Additionally, all staff involved in the assessment process must ensure that the assessment process is conducted in line with quality assurance policies and procedures and that any variances in assessment practices are investigated appropriately as outlined in this procedure.

Cork ETB is responsible for devising procedures on Assessment Malpractice and for ensuring that these procedures are followed across provision.

The Principal/Centre Manager of each Cork ETB Centre is responsible for ensuring that assessment malpractice procedures are followed where necessary. They are also responsible for ensuring that staff and learners are made aware of these procedures.

It is the assessor's responsibility to check the reliability of learner evidence where there is a suspicion of learner malpractice. The assessor or examinations supervisor is responsible for ensuring that any instances of assessment malpractice are reported in accordance with these procedures.

### **Procedure Details**

All learners will be made aware of Cork ETB Assessment Malpractice Procedures through the Learner Assessment Handbook.

#### **6.10.1 Definition of an Assessment Malpractice and Assessment**

##### **Irregularities**

It is important to distinguish between assessment irregularity and assessment malpractice. The decision on whether an issue is deemed to be considered an assessment alleged irregularity or malpractice will relate to the intent, scale or fraudulent nature of the incident by the offender. An issue that may initially be adjudged an assessment irregularity could, after preliminary investigation, be

determined to be an alleged malpractice issue. Where such an issue is deemed an alleged malpractice, the procedures outlined in this document must be utilised.

### **Definition of Assessment Irregularity**

Assessment irregularities are typically accidental omissions or mistakes which are detected by mechanisms within the assessment system, are corrected, and which do not impact on the validity of the assessment. These could include test administration errors, missing assessment data, errors in transcription etc. that are detected and rectified. All instances of irregularities should be documented and addressed in line with this procedure.

### **Definition of Assessment Malpractice**

An assessment malpractice is any act or practice, which brings into question the validity, or integrity of the assessment process and which normally arises due to one or more non-accidental factors. Two categories of malpractice exist:

- Learner Malpractice
- Staff Malpractice

This procedure deals only with learner malpractice.

### **Learner Malpractice**

Learner Malpractice is defined as malpractice committed by a learner during the course of the assessment process. Examples of learner malpractice include but are not limited to: (1) Plagiarism and (2) Inappropriate Behaviour.

#### **1. Plagiarism**

Learner plagiarism is defined as the practice of learners submitting any work for assessment that is not their own original work. This could be any percentage of work that has not been referenced and has been copied from published work, the internet, other learners' work and/or other sources.

Plagiarism in assessment may include but is not limited to:

- Representing work completed by and/or authored by another person (including other learners, family, work colleagues and friends) as their own
- Procuring work from a company or external source including the internet

- Copying work from any source or medium without reference (i.e. website book, journal article)
- Taking a passage of text, or an idea, and summarising it without acknowledging the original source
- Passing off collaborative work as one's own
- Piecing together sections of others' work into a new whole
- Submitting another learner's work with or without their knowledge.

The submission of such plagiarised materials for assessment purposes is fraudulent and all suspected cases will be investigated and dealt with appropriately using the procedures outlined in this document.

Suspected cases of plagiarism will only be investigated when there is a declaration of authenticity, which has been signed by the learner. Any electronic assessment submitted is deemed as having been declared as authentic by the learner.

**and/or**

**2. Inappropriate Behaviour**

Inappropriate behaviour in assessment includes but is not limited to the following:

- Unauthorised removal of assessment material from the assessment location
- Deliberate damage to or destroying of assessment related materials
- Use of electronic communication device/technology or other unauthorised materials during the assessment
- Assisting other learners during the assessment
- In an assessment event (e.g. examination), any form of communication with other learners (written, verbal, gestures, expressions, pointing, etc.)
- Collusion by working collaboratively with other learners, beyond what is allowed
- Copying from another learner
- Fabrication of results and/or evidence
- Falsification (faulty data collection methods)

- Behaving in such a way as to undermine the integrity of the assessment event or process
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment
- Engaging in unsafe practices
- Disruptive, violent and offensive behaviour
- Tampering or interfering with assessment materials or another learner's work
- Submission for assessment of a piece of work that has been purchased/procured from another source where the work is not the learner's own work.

### **6.10.2 Check Reliability of Learner Evidence**

In the event of suspected learner malpractice, the Assessor must check the learner assessment evidence for reliability using the technique outlined in the table below and meet with the learner to discuss the assessment evidence.

<b><u>Reliability of Learner Evidence Reliability of Learner Evidence</u></b>	
Where the Assessor is not in a direct position to observe the learner carrying out the assessment activity or collecting the evidence first hand, e.g., when a portfolio or project is used, he/she must be confident that the evidence was actually produced by the learner, i.e. it is reliable learner evidence. This is particularly important when group assessment is used. The following are ways in which the Assessor may ascertain that the learner evidence produced is reliable and genuine. The Assessor should, where appropriate, implement a range of these.	
Questioning:	This involves asking the learner to explain and describe part of the evidence. It is important to concentrate on how the evidence was produced. This will enable the learner to show that he or she was responsible for producing the evidence and will also give the learner the opportunity to apply the knowledge and skills required.
Authorship	An authorship statement from the learner testifying the

Statement:	evidence as being his/her original work. An authorship statement could be provided with regard to all evidence submitted.
Personal Log:	This is a record of how the learner planned and developed the evidence. A personal log should identify problems and how they were overcome by the learner.
Personal Statements:	A personal statement may be used to explain the actions of the learner in carrying out activities or producing the evidence. Personal statements should be clear and explain the learner's role and the context in which the evidence was produced. Personal statements can provide evidence of knowledge and understanding.
Peer Reports	Peer reports are especially suitable for group work. Peer reports are reports drafted by group members, which can help, explain individual involvement in a task or project.
Independent Testimony:	This is a statement produced by an individual other than the assessor, which confirms that the learner has carried out a series of tasks or produced a product. It should record what the learner has demonstrated and corroborate the learner evidence submitted. The identity and role of the individual to provide the testimony for the learner should be agreed in advance between the Assessor and the learner. The use of independent testimony is not intended as a mechanism for assessing learner evidence but as a tool to corroborate the reliability of that evidence.

### **6.10.2 Reporting of Alleged Assessment Malpractice**

If an assessor suspects and has been unable to verify the reliability of learner evidence then the assessor must report the alleged malpractice to their Principal/Centre Manager or their nominee on the form **6.10.2a Alleged Assessment Malpractice Report Template**.

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The assessor or examination supervisor should deal with instances of suspected malpractice that arise during an examination or skills demonstration promptly as follows:

- The learner should be informed that an alleged incident of assessment malpractice would be reported to the Principal/Centre manager or their nominee.
- The assessor or supervisor will annotate the relevant documents and remove the materials that form the basis for the suspicion.
- The learner will be permitted to continue an examination or skills demonstration
- These instances must be recorded by the assessor on form **6.10.2a Alleged Assessment Malpractice Report Template** and submitted to the relevant Principal or Centre Manager or their nominee for further investigation.

Where an assessor suspects that an incident of assessment malpractice has occurred, the assessment material must be marked on its own merits, as if the alleged malpractice had not occurred and the appropriate mark awarded. The decision whether the alleged malpractice is unsubstantiated or substantiated and any penalties will be taken by the Principal/Centre Manager.

### **6.10.3 Managing Assessment Malpractice Investigations**

The Principal/Centre Manager<sup>1</sup> is responsible for managing assessment malpractice investigations. They are responsible for:

- facilitating and/managing the investigation of alleged malpractice in a timely manner
- adjudicating the findings of the investigative report and determining the appropriate sanctions
- communicating appropriately with staff and learners
- recording all instances of alleged malpractice

The relevant Principal/Centre Manager shall be responsible for informing the learner by email or letter that they are being investigated in relation to the alleged assessment malpractice. See template in **Appendix 6.10.3a Notification of Investigation**.

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<sup>1</sup>Or their nominee

The initial communication shall:

- Provide notification that an allegation of an assessment malpractice has been received.
- Advise that **QA 6.10 Cork ETB Assessment Malpractice Procedures** contains full details of how the investigation will be conducted.
- Emphasise that the investigation will be carried out in a discreet and confidential manner except in exceptional circumstances<sup>2</sup>.
- Avoid implying or suggesting that conclusions have already been determined or that decisions have been made in respect of the application of corrective actions.

#### **6.10.4 Carrying out an Investigation**

The Principal/Centre manager will review the information in form **6.10.2a Alleged Assessment Malpractice Report Template** will decide who should undertake the investigation in consultation with his/her senior management team. It is recommended that at least two staff members are involved in the investigation.

In certain cases, and in conjunction with the relevant manager, a special investigation may be undertaken by the Quality Assurance Office or an external investigator.

#### **Conflict of Interest**

Conflict of interest means any issue that might unfairly influence, or appear to influence, the outcome of an investigation. Possible Conflict of Interest relates to situations where personnel:

- Were engaged in any aspect of the assessment process (including quality assurance functions<sup>3</sup>).
- Have a personal relationship or family relationship with the party being investigated.

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<sup>2</sup> Exceptional circumstances cannot guarantee this confidentiality as identity may need to be disclosed to:

- An Garda Síochána, fraud prevention agencies or other law enforcement agencies (to investigate or prevent crime including fraud)
- The courts (in connection with court proceedings)
- Other person(s) to whom ETB and/or awarding bodies are required by law to disclose identity

<sup>3</sup> Quality Assurance functions can consist of: internal verification on the conduct of assessment process, internal verification of results, external authentication, results approval, appeal process, certification auditing or monitoring etc.



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- Have a professional relationship with the party being investigated, that may be perceived to unfairly influence the investigation process.

This means that any person who has a possible conflict of interest should not be involved in any investigation or subsequent making of judgments. The person(s) alleging that a malpractice has occurred is also prohibited from subsequent involvement in handling the alleged malpractice, once the initial facts have been investigated.

The Principal/Centre Manager is responsible for ensuring that a conflict of interest does not arise and that all members of an investigation panel sign a declaration to that effect (see **QA 6.10.4a Declaration regarding Conflict of Interest**). In cases where real or apparent conflict of interest is identified, alternative arrangements must be put in place.

### **Natural Justice**

Those responsible for conducting an investigation shall establish the full facts and circumstances of any alleged assessment malpractice. It should not be assumed that an allegation equates to proof of a malpractice. Any investigation into an alleged malpractice shall have due regard to the principles of natural justice. As such, it is necessary that those responsible for managing the conduct of any investigation must ensure adherence to these principles.

This includes ensuring that:

- All investigations do not disadvantage the person against whom the allegation is made and are concluded within 20 working days from the date of the notification to the Principal/Centre Manager of the alleged malpractice<sup>4</sup>.
- The learners in question are made aware of the allegation and are given the opportunity to respond.
- Care is taken to avoid conflict of interest.

The learner(s) against whom an allegation is made should therefore:

- Know what evidence exists to support that allegation.

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<sup>4</sup> In exceptional circumstances where there are a number of persons involved or other circumstances, the investigation may take longer. In such situations the parties must be advised in writing of expected date for conclusion of the process.

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- Know the possible consequences should an assessment malpractice be proven.
- Have the opportunity to consider their response to the allegations (if required).
- Have an opportunity to submit a written statement.
- 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 particular malpractice may be shared with other relevant parties.

The investigators should endeavour to obtain all the relevant facts about the alleged assessment malpractice. This may be done through (some or all of) the steps outlined below:

- Review of allegation details.
- Interview with the party being investigated.
- Interview with personnel and or management connected to the course, project or alleged malpractice.
- Interview with learners connected to the course, project or alleged malpractice.
- Interview with the other relevant parties.
- Written statement(s) from the party being investigated.
- Written statement(s) from learners connected to the course, project or alleged malpractice.
- Written statement(s) from personnel connected to the course, project or alleged malpractice.
- Written statement(s) from other relevant parties.
- Review of related assessment reports (Assessor's Report, Internal Verification Report, External Authentication Report and Monitoring reports).
- Other related records.

### **Confidentiality**

Confidentiality is a key aspect in the conduct of an investigation into an alleged malpractice, due to the risk of reputational damage to parties involved. In order to ensure confidentiality is maintained before, during and after an investigation, the following conditions should apply:

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- Material relating to any allegations, findings or conclusions must not be made known to any parties, either internally or external to the Cork ETB, beyond those key to the investigation.
- It is not necessary to inform all parties being interviewed of the details of meetings with other parties unless there is a specific relevant matter to be raised.
- The name or other details of the party making the malpractice allegation should not be divulged to the party/parties to be investigated without consent.
- All material relating to the investigation must be held and stored in a secure manner. Material relating to a given investigation should be stored together on a single file. Each file should have a unique code to identify the investigation. Copies of electronic material should also be held with this file.

### **Investigation Report**

Typically, the report that results from the investigation of an assessment malpractice should contain the following, where relevant:

- A detailed account of the circumstances of the alleged malpractice – a statement of the facts
- How the alleged malpractice was identified and notified to the relevant Principal/Centre Manager.
- Number of learners affected and/or implicated.
- The nature of the malpractice and the specific assessment procedure(s) or assessment rule(s) or assessment regulation(s) that has/have allegedly been breached, as well as the award details.
- The evidence relevant to the allegation, such as written statements from the invigilator, assessor, internal verifier or other staff who were involved.
- Details of unauthorised material found in the examination room
- Any work of the candidate and any associated material which is relevant to the investigation.
- Details of the scope of the investigation carried out.
- Details of the procedure, rule and/or regulation that is alleged to have been breached
- A statement of the facts as described by all parties
- Details of any mitigating factors.

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- Conclusion (whether the malpractice allegation is substantiated or unsubstantiated).

The Report Form template (see **QA 6.10.4b Investigative Report into Alleged Assessment Malpractice Template**) should be used. The investigator should not adjudicate on the report findings.

The report will be signed and dated by the investigator. Any written statements, notes of interviews or other relevant documentation reviewed or obtained as part of the investigation must be filed separately and securely as part of the investigation process.

### **6.10.5 Sanctions for Assessment Malpractice**

Depending on the findings of an investigation and the outcome adjudicated, further steps, such as sanctions or disciplinary action, may be required. The Principal/Centre Manager should consider the following when making a decision on the penalties to be imposed:

- The degree of intent on the learners part
- The potential impact of the malpractice

These are examples of sanctions which may be taken:

1. A mark of zero is recorded for the assessment item (or part of the assessment item) affected.
2. Learner is required to resubmit/repeat the assessment for a pass mark only (50%).
3. Automatic failure of that component.
4. Temporary or permanent suspension of studies.

### **6.10.6 Adjudication of Investigative Report.**

The Investigation Report is submitted to the relevant Centre Manager. The relevant Centre Manager adjudicates on the report findings and notifies the person(s) involved in writing as to whether the allegation has been substantiated or not. Where the allegation is substantiated, the notification will include details of the appeal process in regard to the findings and the sanctions/consequences for this breach of the assessment malpractice.

The Centre Manager must complete the Findings Adjudication and Communication of Findings section of the investigative report (see: Section 3: Findings Adjudication and Communication of Findings of **Appendix QA 6.10.4b Investigative Report into Alleged Assessment Malpractice Template**).

#### **6.10.7 Communicating the Findings**

The Principal/Centre Manager is responsible for notifying the learner, by email or letter, of the outcome of the investigation. The notification will include details of any sanctions being imposed and details of the Assessment Malpractice Sanction Appeal process, including the timeline for an appeal of a sanction.

See template **6.10.7a Notification of Assessment Malpractice Investigation Finding**.

The relevant Principal/Centre Manager will convey, as appropriate, the outcome of the assessment malpractice investigation in writing to the:

- Learner
- Relevant Manger / Coordinator where relevant
- The Assessor/Exam Supervisor
- Others, as appropriate

If no appeal has been lodged, after 5 working days from the date of communicating the findings of the investigation, the relevant Principal/Centre Manager can proceed to implement the sanctions.

#### **6.10.7 Appeal of Assessment Malpractice Finding**

The learner has the right to appeal the decision in relation to assessment deadlines. Appeals must be made within five working days from the date of communicating the findings of the investigation. All appeals must be made in writing using the Appeals Assessment Malpractice Application Form (see **QA 6.10.7a Application Form for Appeal of Assessment Malpractice Finding**).

The grounds on which the appeal process can be activated are as follows:

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- The alleged malpractice was not dealt with in accordance with procedures.
- The regulations did not adequately cover the circumstances relating to the malpractice.
- New information has become available that was not available to the investigation

The Appeals process is processed by the relevant line manager.

The line manager of the Principal/Centre Manager will determine if the application meets one of the criteria listed for activating the appeal and will inform the appellant, in writing, of the decision within 10 working days of receiving the written application.

(**Note:** Templates for this communication can be found in **6.10.7b Notification of Appeal of Assessment Malpractice Finding Outcome**)

### **6.10.8 Certification**

Regardless of the outcome of the assessment malpractice investigation, it is imperative that the certification process is not unnecessarily compromised, and that where applicable, learners receive certificates with minimal delay, following, and in accordance with, the investigation outcome. Consequently, as soon as the investigation outcome is communicated, one of the following steps should be taken:

- In cases where certificates had already been requested or issued by the Awarding Body, the relevant Principal/Centre Manager will inform the Awarding Body of the outcome of the investigation certification implications.
- or
- If the processing of certificate requests have been suspended pending an investigation outcome, the Principal/Centre Manager will inform the relevant Administrator/Officer whether or not the processing of certificate requests can proceed.

Note: In the majority of cases of investigations into assessment malpractices subsequent outcomes are confidential. However, in cases of serious malpractices, where the threat to the integrity of the assessment outweighs a duty of

confidentiality, it will normally be necessary for information to be exchanged amongst other relevant parties within Cork Education and Training Board.

### **6.10.9 Corrective/Preventative Action and Follow-Up**

Where the assessment malpractice is substantiated, the relevant Principal/Centre Manager will decide on the corrective and/or preventative actions and follow-up to be taken.

All corrective actions will recorded and will be stored in a secure location with restricted access.

Corrective actions and/or preventative actions arising from malpractice incidents for improving assessment processes or conduct may include:

- Reminding learners of the rules governing assessments.
- Amendments to learner information on assessments.
- Refresher briefing for assessment personnel.
- Suggested amendments assessment material.
- Suggested amendments to assessment rules, procedures and/or regulations.
- Other appropriate measures.

The relevant Principal/Centre Manager will convey details of the corrective actions and follow-up where relevant to the:

- Learner
- Instructor
- Course Coordinator, Training Standards Officer or Administrator
- Other relevant parties.

<b>Title:</b>	QA 6.10 – CORK ETB Assessment Malpractice Procedure
<b>Authors:</b>	Cork ETB Quality Assurance Steering Group
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<b>Approval</b>	FET Strategy Group
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QA 6.10 – Cork ETB Assessment Malpractice Procedure

<b>Date:</b>	
<b>Review Date:</b>	30/5/2018
<b>Templates/ Resources</b>	6.10.2a Alleged Assessment Malpractice Report Template
	QA 6.10.3a Template Letter – Notification of Investigation of Assessment Malpractice
	QA 6.10.4a Declaration regarding Conflict of Interest
	QA 6.10.4b Investigative Report into Alleged Assessment Malpractice Template
	QA 6.10.6a Notification of Assessment Malpractice Investigation Finding
	QA 6.10.7a Application Form for Appeal of Assessment Malpractice Finding
	QA 6.10.7b Notification of Appeal of Assessment Malpractice Finding Outcome



**Appendix 6.10.2a Alleged Assessment Malpractice Report Template**

<b>SECTION 1</b>		
Course Name:		
Course Code:		
Module/Component:		
Assessment Date:		
Assessment Technique:	Assignment <input type="checkbox"/>	Skills Demonstratio <input type="checkbox"/>
	Project <input type="checkbox"/>	Examination <input type="checkbox"/>
	Portfolio <input type="checkbox"/>	Learner Record <input type="checkbox"/>
Location:		
Assessors Name:		
Assessors Email Address:		
Assessors Phone Number:		

<b>SECTION 2</b>
Please record details of any issues, unforeseen events, breach of assessment regulations, infringement of assessment procedures that occurred during the assessment:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Appendix QA 6.10.3a Template Letter – Notification of Investigation of Assessment Malpractice**

NAME

ADDRESS 1

ADDRESS 2

ADDRESS 3

Date: <dd/mm/yy>

Subject: Alleged breaking of our assessment rules (**malpractice**)

Dear Mr/Ms < Name > ,

It has come to our attention that you may have broken the rules of our assessment system (malpractice) relating to: *(delete as appropriate)*

<Assessment Title> held at <Location> on <date>.

<Assessment Event> held at <Location> on <date>.

<other - specify what the alleged malpractice relates to, when and where it is alleged to have occurred if known>

**Next steps**

We are going to investigate this alleged malpractice. Our investigator will contact you soon. I want to assure you that we will carry out this investigation in a **discreet, confidential<sup>5</sup> and fair manner**. Our investigation will follow the Cork ETB **QA 6.10 Procedure for Managing Assessment Malpractice**. I attach a copy of this procedures document.

If you require any further information, please contact me.

Yours sincerely,

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<Name >

Principal/Centre Manager

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<sup>5</sup> Except in exceptional circumstances where there is an obligation to report an incident to the Gardaí for example.

**Appendix QA 6.10.4a: Template for Declaration regarding Conflict of Interest**

**Declaration regarding Conflict of Interest  
for Persons involved in the Investigation of an Alleged Malpractice with the  
Cork Education and Training Board Assessment Procedures**

*Conflict of interest means any issue that might unfairly influence, or appear to influence, the outcome of an investigation. A conflict of interest for a person investigating an alleged malpractice with the Cork ETB assessment procedures shall be deemed to exist if the personnel:*

- *Were engaged in any aspect of the assessment process (including quality assurance functions).*
- *Have a personal relationship or family relationship with the party being investigated.*
- *Is perceived to have a professional relationship with the party being investigated that may unfairly influence the investigation process.*

*Where a conflict of interest exists, there can be no involvement in the investigation of the alleged malpractice, or the decision-making surrounding the outcome of the alleged malpractice.*

Centre: \_\_\_\_\_ Date: \_\_\_\_\_

Incident: \_\_\_\_\_

**This is to certify that, as far as I am aware, no conflict of interest exists in relation to my participation in the investigation of the above-mentioned alleged assessment malpractice.**

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Name (Block Capitals):

\_\_\_\_\_

Position: \_\_\_\_\_

Organisation: \_\_\_\_\_

**Appendix QA 6.10.4b Investigative Report into Alleged Assessment Malpractice Template**<sup>6</sup>

**STRICTLY PRIVATE AND CONFIDENTIAL**

**SECTION 1: GENERAL**

<b>CORK ETB Centre or Training Provider Details</b>			
CORK ETB Centre			
Address			
Course Reference Number/ Contract Number/ Course Code (as applicable)			
Contact Name		Position	
Contact Number		Email Address	
<b>Assessment Details</b>			
Award Details (Type/Level/Title)	<i>e.g. Level 5 Minor Computer Applications</i>		
Title of Assessment			
Assessment Location			
<b>Description of Alleged Malpractice</b>			
Date of Alleged Malpractice		Time of Alleged Malpractice	
Description of Alleged Malpractice. <i>(Specify the assessment procedure/rule that has allegedly been breached. Include details of mitigating factors, if any).</i>			
Number of Learners Impacted		Number of Learners Implicated (if any)	

<sup>6</sup> This document is intended for use for investigating all alleged assessment malpractices and therefore sections relevant to the particular incident must be completed. Irrelevant sections should be completed as “Not Applicable or N/A”.

Nature of Impact on Learners	
<b>Certification Status at time of Allegation Notification (tick as appropriate)</b>	
Certificates not requested and will not be progressed until process is concluded	
Certificates have been issued and are to be retrieved and held pending outcome of process	
Certificates have not been issued and will be held until the process is concluded	
Certification will not be impacted	

<b>Notification of Malpractice Allegation</b>			
Name of relevant Principal/Centre Manager			
Notified by (name)			
Notified verbally or in writing (tick as appropriate)	Verbally <input type="checkbox"/>	In Writing <input type="checkbox"/>	
Date of Notification			
Party to be investigated notified in writing	Yes <input type="checkbox"/>	Date:	
Name(s) of Investigator(s)		Contact Number	
		Email Address	
Comment			
Notification to Quality Assurance Office	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date:

**SECTION 2: INVESTIGATION REPORT**

If this section is not applicable, please tick

Investigation		
Name(s) of person(s) spoken to/met		
Documents reviewed		
Evidence reviewed		
Investigation Findings		
Investigation Findings		
Supporting Documents/ Evidence/Testimony		
Allegation substantiated	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Investigation Report submitted to relevant Principal/ Centre Manager	Date:	
<b>Signed (Investigator)</b>		<b>Date</b>
<b>Print Name</b>		

### SECTION 3: FINDINGS ADJUDICATION AND COMMUNICATION OF FINDINGS

If this section is not applicable, please tick

Findings Adjudication by Principal/ Centre Manager			
Malpractice Allegation Findings	Substantiated <input type="checkbox"/>	Not Substantiated <input type="checkbox"/>	
Sanctions Imposed			
Comment			
Signed (Relevant Principal/ Centre Manager)		Date	

### SECTION 4

Communication of Adjudicated Findings				
Adjudicated Findings	Communicated to: (as relevant)	Please tick	Date	Informed by
	Learner	<input type="checkbox"/>		
	Relevant manager Coordinator	<input type="checkbox"/>		
	Assessor/Exam Supervisor	<input type="checkbox"/>		
Other party informed (specify)				



**Appendix 6.10.6a Notification of Assessment Malpractice Investigation**

**Finding**

NAME

COMPANY NAME (if applicable)

ADDRESS 1

ADDRESS 2

ADDRESS 3

Date: <dd/mm/yy>

Subject: Assessment Malpractice Investigation Finding

Dear Mr/Ms < Name > ,

Cork ETB has completed its investigation into the alleged assessment malpractice in accordance with the Cork ETB *Procedures for Managing Assessment Malpractice*. I wish to inform you that the finding of this investigation is that the malpractice allegation is <unsubstantiated/substantiated> (*delete as appropriate*).

*(In the case of substantiated malpractice)*

<As a result of the investigation Cork ETB has decided to impose the following sanction:

Please note that you may initiate an appeal of the finding of this investigation, in writing, within 10 working days from the date of this letter. An application form for the appeal of the assessment investigation finding is enclosed with this letter >.

If you require any further information, please do not hesitate to contact me.

Yours sincerely

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<Name >

Principal/Centre Manager

**Appendix QA 6.10.7a Template for Application Form for Appeal of  
Assessment Malpractice Finding**

Please complete this form in BLOCK letters and send to the [Insert name of the FET Director or relevant line manager for appeals] no later than 10 working days from the date of you were notified of the assessment malpractice findings.

<b>Appellant Name:</b>
<b>Address:</b>
<b>Contact number:</b>
<b>Email address:</b>

<b>Reason for your appeal (please tick one box only)</b>	
Malpractice was not dealt with in accordance with procedures	<input type="checkbox"/>
Regulations did not adequately cover the circumstances relating to the malpractice	<input type="checkbox"/>
New information is now available that was not available to the investigation	<input type="checkbox"/>

<b>Explain the reason for this appeal application</b>

<b>Print Name:</b>	
<b>Signature:</b>	<b>Date:</b>

FOR OFFICIAL USE ONLY		
Report (Section 4) Completed	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Signature:		
Date:		

**Appendix 6.10.7b Notification of Appeal of Assessment Malpractice Finding Outcome**

NAME

ADDRESS 1

ADDRESS 2

ADDRESS 3

Date: <dd/mm/yy>

Subject: Appeal of our assessment malpractice finding

Dear Mr/Ms < Name > ,

We have reviewed your appeal of the malpractice finding based on <insert grounds> .  
You appeal has been <upheld/not upheld> (*delete as appropriate*).

We used our Cork Education and Training Board Procedures for Managing Assessment Malpractice to reach this decision.

If you require any further information, please contact me.

Yours sincerely

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< Name > ,

< Title >