**Appendix 1: Suspected learner malpractice notification form – Confidential**

Centres may use either form JCQ/M1, which can be found in the JCQ malpractice policy document ([www.jcq.org.uk/](http://www.jcq.org.uk/)), or the form below to notify City & Guilds of suspected learner malpractice in examinations or assessments. For guidance on how to complete this form, please refer to Appendix 2 of the Managing Cases of Suspected Malpractice document. Please note, **this notification form does not constitute a malpractice report.** Reports must follow the guidelines laid out in the Guidance to Centres on conducting investigations.



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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. Date of incident |  | | | | | | | | | | | | | Time | |  | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| 1. Centre number |  |  | | | |  | | |  | |  | |  | Centre Suffix (if applicable) | | | | | |  | |
|  | | | | | | | | | | | | | | | | | | | | | |
| 1. Centre Name |  | | | | | | | | | | | | | | | | | | | | |
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| 1. Country |  | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| 1. Examination/assessment details | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Qualification number |  | | |  | | |  | | |  | | Title | | |  | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| Assessment/ component/ unit number |  | | | |  | | |  | | | | Title | | |  | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| 1. Is this a Technical Qualification? | | | | | | | | | | | | | | | | | Yes |  | No | |  |
|  | | | | | | | | | | | | | | | | | | | | | |
| 1. Date incident was reported to the Head of Centre | | | | | | | | | | | | | | |  | | | | | | |
| 1. Details of learner(s) involved | | | | | | | | | | | | | | | | | | | | | |
| **Enrolment Number** | | | **Learner name** | | | | | | | | | | | | | | | | | | |
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| 1. Details of invigilator(s)/assessment personnel or other witnesses | | | | | | | | | | | | | | | | | | | | | |
| Role | | | Name | | | | | | | | | | | | | | | | | | |
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| 1. Describe the nature of the suspected malpractice, including details as to how it was discovered, by whom and when. | | | | | | | | | | | | | | | | | | | | | |
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| 1. Describe how the learner(s) was made aware of the examination or assessment regulations. | | |
|  | | |
|  | | |
| 1. If the incident involved disruptive behaviour, did the learner’s behaviour cause disturbance to other learners? | Yes |  |
| No |  |
| If the answer to the above question is ‘yes’ and you wish to request special consideration for other learners, please submit an application for special considerations in the normal way. | | |
|  |  | |
| 1. If the incident involved the introduction of unauthorised material, is the unauthorised material enclosed? | Yes |  |
| No |  |
|  | | |
| If the answer to the question 14 is ‘no’, please give details below of the nature of the unauthorised material. | | |
|  | | |
|  | | |
| 1. Has this learner previously been involved in an incident of malpractice that was reported to City & Guilds? | Yes |  |
| No |  |
|  | | |

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| --- | --- | --- |
| 1. If the case involves plagiarism, please provide full details of the incident, including copies of the plagiarised material, the detail of original text, together with your conclusions. If available, include similarity index reports from plagiarism software. | | |
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|  | | |
| 1. Had the learner(s) been issued with a declaration of authentication (where applicable)? | Yes |  |
| No |  |
|  | | |
| 1. Had the learner(s) signed the declaration of authentication stating that all work completed was the learner’s own (where applicable)? | Yes |  |
| No |  |
|  | | |
| 1. To be completed in the case of written examinations and online tests only | | |
| * 1. Was the ‘Warning to Candidates’ displayed outside the examination room? (See JCQ document *Instructions for conducting* *examinations* – [www.jcq.org.uk](http://www.jcq.org.uk/) – Appendix 4). | Yes |  |
| No |  |
|  | | |
| * 1. Had the learner(s) been issued with a copy of the ‘Information for candidates’ (either electronically or in hard copy paper format) prior to signing the declaration of authentication? (See JCQ Instructions for conducting examinations, Appendix 5/6 as appropriate). | Yes |  |
| No |  |
|  | | |
| * 1. Was the ‘Mobile Phones’ poster displayed outside the examination room? (See JCQ Instructions for conducting examinations, Appendix 7). | Yes |  |
| No |  |
|  | | |
| * 1. Were learners reminded of examination regulations at the beginning of this particular examination? | Yes |  |
| No |  |
|  | | |
| 1. Other information   If there are any other details you feel are relevant to this allegation, including mitigating circumstances, please give further information below. | | |
|  | | |

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| --- | --- | --- |
| 1. Supporting information and materials   Please check (x) the appropriate boxes to indicate the supporting information and materials submitted with this form. | | |
| Information/materials submitted with this form | Yes | No |
| Procedures for advising learner(s) of the examination/assessment regulations |  |  |
| Statement(s) from invigilator(s) |  |  |
| Statement(s) from tutor/head of subject/assessor/internal quality assurer |  |  |
| Statement from examinations officer |  |  |
| Statement(s) from learner(s) |  |  |
| Statement from employer |  |  |
| Seating plan of the examination room |  |  |
| Question paper and script(s) or other learner evidence |  |  |
| Copies of plagiarised material |  |  |
| Copies of plagiarism detection software reports |  |  |
| Unauthorised material |  |  |
| Assessment and internal quality assurance/moderation records |  |  |
| Other (please give details) |  |  |
|  | | |
| If a statement(s) from the learner(s) is not enclosed, please check (X) this box to indicate that the learner(s) has been given the opportunity to make a statement but has chosen not to do so. If **no** statement is included, please provide a reason why in the text box in ’20 – Other information’. | |  |
| 1. Individual proposed to gather evidence  |  |  | | --- | --- | | Name: |  | | Role within centre/organisation: |  | | Reason why suitable to gather evidence (e.g., experienced senior leader): |  | | I confirm that the individual proposed to gather evidence does not have any known conflicts of interest or personal interest in the outcome of the investigation. | Choose an item. | | | |

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| --- | --- |
| 1. To be completed by the Head of Centre | |
|  | |
| Head of Centre Name (please print) |  |
| Job title |  |
| Tel no |  |
| Email |  |
| Signature\* |  |
| Date |  |
|  | |
| \*Submission by email from the centre’s registered email address will be accepted in place of a signature. When submitting the form by email, all supporting documents should be scanned and attached (preferably as PDF documents) to the same email, and the originals retained by the centre. Notification forms which require the inclusion of lengthy documents or learner work should be sent by post. Please do not submit the same form with both methods.  Please submit the form to [investigationandcompliance@cityandguilds.com](mailto:investigationandcompliance@cityandguilds.com) | |

**Appendix 5: Notification form checklist**

**What is this checklist for?**

This checklist is intended to assist centres when completing a notification of suspected malpractice by learners or staff.

Reference is made to the requirements contained in the JCQ document *Suspected Malpractice in Examinations and Assessments – Policies and Procedures*.

**Please indicate by ticking the appropriate box for the following points.**

|  |  |
| --- | --- |
| Yes |  |
| No |  |

Staff members and learners have been informed of their rights (as outlined in the relevant section of the above-mentioned JCQ document).

The individual, whether a learner or a member of staff accused of malpractice:

|  |  |
| --- | --- |
| Yes |  |
| No |  |
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| Yes |  |
| No |  |
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| Yes |  |
| No |  |
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| Yes |  |
| No |  |
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| Yes |  |
| No |  |
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| Yes |  |
| No |  |
|  |  |
| Yes |  |
| No |  |
|  |  |
| Yes |  |
| No |  |

* has been informed (preferably in writing) of the allegation made against him or her
* knows what evidence there is to support the allegation
* knows the possible consequences or penalties that City & Guilds may apply should malpractice be proven
* has had the opportunity to consider their response to the allegation (if required)
* has had the opportunity to submit a written statement
* has had the opportunity to seek advice (as necessary) and provide a supplementary statement if required
* has been informed of the applicable appeals procedures should a decision be made against him or her
* has been informed of the possibility that information relating to the malpractice may be shared with other Awarding Organisations, the regulators and/or other agencies.

**Please enclose the completed checklist with the notification form.**