

Malpractice and Maladministration Policy

1. Malpractice on the part of candidates: practical examinations

- 1.1 **Responsibility:** The Examiner is responsible for ensuring that good practice is observed in practical examinations. Any instances of malpractice or suspected malpractice on the part of candidates must be reported to the relevant Chief Examiner at the earliest opportunity, and in any event no later than the return of results to the LCM Examinations (LCME) office, so that appropriate action can be taken.
- 1.2 **Substitution of candidates:** Only candidates who have been officially entered, whose examination fees have been paid and who are in receipt of an attendance notice, will be examined. Substitution of a candidate in place of a candidate originally entered will not be allowed. The Attendant is responsible for ensuring the correct identity of candidates who take examinations. If the Attendant has good reason to believe that the candidate who has reported for the examination may not be the correct person, then they have the right to refuse entry to the examination room. Any instance or suspected instance of substitution post-examination should be reported to the LCM office immediately so that appropriate action can be taken. If it is discovered, post-examination, that substitution of a candidate has taken place, the examination will be annulled and no certificate or result will be issued.
- 1.3 **Use of photocopies:** UWL's policy on the use of photocopied material is as follows:

The use of photocopied music by candidates or accompanists, unless authorised by the publisher or copyright holder, will not be permitted in the examination with the following exceptions:

- a photocopy of a page of a work for ease of performance due to a difficult page turn
- a photocopy of a piece for the examiner's reference, provided the performer is using their own published edition
- an enlarged or modified photocopy for candidates with particular needs, provided the original edition is also brought to the examination and presented to the examiner

All such photocopies will be retained by the examiner, and destroyed at the end of the day's examinations.

Compliance with copyright law is the responsibility of the candidate and failure to comply will lead to disqualification and no marks or certificate being awarded. Printouts of legal internet downloads are acceptable.

It should be noted that, despite the wording above, UWL retains the discretion to issue a written warning (subsequently kept on file) and still release the mark and certificate to candidates and teachers who fail to comply with this regulation on a first occasion. This is to ensure that, as far as possible, candidates should not be unfairly disadvantaged for a mistake made by their teacher. However, no mark or certificate will be awarded following a second breach of this regulation.

- 1.4 **Syllabus infringements:** Candidates are required to complete tasks and perform repertoire as specified in the syllabus, unless authorisation has been granted by the relevant Chief Examiner in advance of the examination. Where a candidate performs unauthorised repertoire, the Examiner will mark the affected components and attach a note explaining the infringement that took place marked for the attention of the Chief Examiner. The performance of unauthorised repertoire may result in the awarding of no marks for that component of the examination, at the discretion of the relevant Chief Examiner. Alternatively, as in 1.3 above, a warning letter may be written, which is then kept on file.

2. Malpractice on the part of candidates: written examinations

- 2.1 **Responsibility:** The invigilator is responsible for ensuring that good practice is observed in written examinations. Any instances of malpractice or suspected malpractice must be reported to the relevant Chief Examiner at the earliest opportunity, and in any event no later than the return of scripts to the LCME office, so that appropriate action can be taken.
- 2.2 **Substitution of candidates:** Only candidates who have been officially entered, whose examination fees have been paid and who are in receipt of an attendance notice, will be permitted to sit for examination. Substitution of a candidate in place of a candidate originally entered will not be allowed. If it is discovered, post-examination, that substitution of a candidate has taken place, the examination will be discounted and no certificate or result will be issued. The invigilator is responsible for ensuring the correct identity of candidates who take examinations. If the invigilator has good reason to believe that the candidate who has reported for the examination may not be the correct person, then they have the right to refuse entry to the examination room. Any instance, or suspected instance, of substitution post-examination should be reported to the LCME office immediately so that appropriate action can be taken.
- 2.3 **Forbidden objects:** Candidates are forbidden to take into the examination room any paper for rough working, blotting paper, notes, text books, stationery items such as rulers with keyboard designs, or opaque pencil cases. Mobile phones and tablets are not allowed in the examination room. Any such items will be removed by the invigilator.
- 2.4 **Communication between candidates:** Candidates are forbidden to communicate with, seek assistance from or give assistance to one another in the examination room during the examination, but reasonable questions about rubric or procedure may be addressed to the invigilator.
- 2.5 **Procedure in the event of suspected malpractice:** Where the invigilator believes that a candidate is cheating, they should approach the candidate and, if practicable, ask the candidate to accompany the invigilator outside the examination room. The invigilator should ask the candidate to surrender any suspect materials and inform the candidate that they will be making a formal report to UWL. The candidate will then be permitted to re-enter the examination room and finish the examination, the time taken in the above exercise having been noted. The candidate will be given extra time to complete the examination to compensate for the interruption.
- 2.6 **Reporting of suspected malpractice:** It is the invigilator's duty to inform UWL of any irregularities or misconduct occurring during the examination. This should be done in writing, giving full details, names and times of incident(s) and attached to the Declaration and Attendance Register.
- 2.7 **Sanctions:** A full investigation into suspected malpractice will be carried out by the relevant Chief Examiner. Candidates involved in misconduct may be disqualified, with no marks or certificate being awarded, at the discretion of the relevant Chief Examiner. Alternatively, a written warning may be sent, and the letter placed on file. A second instance of malpractice by the same candidate will result in disqualification, with no marks or certificate being awarded.

3. Malpractice on the part of centre representatives

3.1 **Appointment of representatives:** The appointment of representatives is for an undefined period, and can be terminated at any time at the wish either of the representative or of UWL, subject to the relevant notice period.

3.2 **Instances of malpractice:** The following are considered to constitute malpractice on the part of centre representatives:

- The provision of an examination venue which does not meet UWL's published requirements (*see Appendix 1, Facilities for Examinations*)
- The publication of literature on behalf of UWL without the prior approval of UWL
- Holding written examinations on dates and/or times other than those prescribed by UWL or other non-compliance with published procedures for the administration of written examinations
- Non-compliance with requests from UWL for standard paperwork (e.g. summary forms)
- Non-compliance with financial regulations; in particular where unauthorised expenses are claimed, or receipts are not submitted with claims
- Inadequate procedures and/or provision for candidates requiring reasonable adjustments
- The appointment of invigilators for written examinations who do not meet UWL's published criteria

3.3 **Centre Report:** The chief means by which centres are monitored is through the 'Centre Report' (*Appendix 2*), which examiners complete following each examination session at each centre, and return to the LCME office. This report provides an opportunity to comment on the work of the representative and the standard of the facilities. If reports are unsatisfactory, the sanctions detailed in 3.5 below will be applied.

3.4 **Monitoring of centres:** Additionally, the Director of Examinations and the two Chief Examiners undertake monitoring of centres as part of their normal work examining, conducting Performance Reviews of examiners, and training new examiners. Complaints may also be received from candidates and/or teachers.

3.5 **Sanctions:** Any instances of malpractice as defined above are referred to the Director of Examinations for investigation and consideration. Sanctions are at the discretion of the Director of Examinations, and are as follows:

- A written request to ensure that correct procedures are followed in the future
- A written warning, which is kept on file
- Withdrawal of agreement to hold certain types of examination (eg. written examinations)
- Dismissal

4. Malpractice on the part of invigilators for written examinations

4.1 **Requirements of invigilators:** invigilators must observe the following regulations:

- Invigilators must give their whole attention to supervising the examination and not embark on any other task while the examination is in progress
- Candidates must not be left without an invigilator while the examination is in progress
- Invigilators must not assist candidates or give any unfair advantage to candidates
- Invigilators must complete and return the Declaration and Attendance Register, and inform UWL of any incidents of cheating or other infringements of the requirements

4.2 **Monitoring of centres:** the Chief Examiner in Music from time to time may arrange for examiners to make unannounced monitoring visits to a random selection of centres which administer written examinations. The Examiners complete a monitoring form (*Appendix 3*) which is returned to the LCME office. Any instance of malpractice or suspected malpractice is investigated by the appropriate Chief Examiner or by the Director of Examinations.

4.3 **Sanctions:** Any instances of malpractice as defined above are referred to the Director of Examinations for investigation and consideration. Sanctions are at the discretion of the Director of Examinations, and are as follows:

- A written request to ensure that correct procedures are followed in the future
- A written warning, which is kept on file
- Withdrawal of permission for that person to be used as an invigilator in the future
- Withdrawal of agreement to hold examinations at the centre

5. Involvement of the regulatory authorities

5.1 Where appropriate and relevant, UWL would inform the regulatory authorities about any serious malpractice at a centre, so that any effect on other awarding bodies' qualifications can be minimised. Evidence of any apparent criminal activity will be communicated to the police.

6. Enquiries and Appeals

6.1 Candidates may make enquiries about and appeal decisions relating to the outcome of a malpractice investigation. The procedure is detailed in the Enquiries and Appeals Policy.

7. Version

7.1 This policy was updated in January 2018 and is reviewed annually.

Appendix 1: Facilities for Examinations

1. Practical Examinations

- 1.1 The examination room must be a quiet one in which the performances of candidates will be undisturbed by outside noise. It should be of moderate size rather than a large hall, but there must be sufficient room for candidates to be able to perform effectively.
- 1.2 A moderately sized table and chair(s) must be provided in the examination room for the examiner(s). A suitable chair or chairs must also be available for candidates if required (eg. for guitarists, cellists, drama or communication candidates).
- 1.3 For music examinations a piano with an adjustable stool must be provided. The instrument should have a smooth, even and easy touch and the pedal mechanism must be in good working order, operating noiselessly and effectively. The instrument should have been tuned in readiness for the examination session.
- 1.4 For instrumental candidates, a music stand in working order must be provided. Please note, however, that guitarists must provide their own footstools if required.
- 1.5 Where there are to be Electronic Keyboard examinations there should be a table provided for the candidates to use where their instrument does not have an integral stand, and a seat of suitable height. Also, suitable, safe power connections need to be at hand.
- 1.6 All furniture must be stable and in good repair.
- 1.7 A waiting room close to, but ideally not directly adjoining, the examination room must be provided.
- 1.8 Warming up – a space should be provided for singers and instrumentalists to warm up their instruments.
- 1.9 All rooms must be a comfortable temperature.
- 1.10 Representatives should be prepared for the examiner to rearrange the room as necessary.
- 1.11 Official LCME *Examination Room* posters should be displayed at the entrance to the examination venue and on the examination room door. The LCME *Waiting Room* poster should be displayed in the Waiting Room.

2. Written Examinations

- 2.1 Each candidate should be seated at a desk or table. The seating arrangements should be such that candidates are far enough apart so as not to be able to see each others' work.
- 2.2 Any posters or charts relating to music/drama or communication subjects should be removed from displays and walls.
- 2.3 A clock should be clearly visible to all candidates at all times during the examination.
- 2.4 Invigilators must not talk to each other, except when essential, and this must be in a very low voice. Conversations are distracting to candidates.
- 2.5 Surrounding areas should also be quiet.
- 2.6 Official LCME *Examination Room* posters should be displayed at the entrance to the examination venue and on the examination room door. The LCME *Waiting Room* poster should be displayed in the Waiting Room.
- 2.7 Where it is necessary for candidates to take papers of differing lengths in the same examination room, those who will finish first should be seated nearest to the exit of the room so that when they leave they will cause less disturbance to the remaining candidates.

Appendix 2: Centre Report Form

LCM Exams – Centre Report

Centre: _____ Exam session: _____

Venue address: _____

Quality of piano and stool: _____

Was there a waiting room? _____

Quality and location of waiting room: _____

Was the representative or a competent steward in attendance throughout? _____

Comments on the representative's work, organisational manner, etc:

Overnight accommodation (is there reasonable accommodation nearby)?

Were there any candidates with special needs/disabilities? Yes No

If so: Was there adequate access? _____

Were you notified in advance? _____

Please note any further comments on the back of this form.

In particular, we would be grateful to know of any issues which may be useful during the standardisation of marks, such as:

- **Were the marks / results unusually low or high?**
- **Were the marks / results unusually at variance with this centre's results in the past (depending on your knowledge of the centre's history)?**
- **Did you pick up any information about anything which might have changed the centre's marks, such as a teacher or teachers joining or leaving the centre?**

Examiner _____

Signature _____ Date: _____

Thanks for your help. Please return this form to LCM Exams with your result sheets.

Appendix 3: Theory Centre Monitoring Form

Name of examiner making visit: _____

Date: _____ am/pm: _____

Centre: _____

Venue: _____

Approximate number of candidates observed: _____

Comment on the suitability of the venue: _____

Please comment on any concerns over procedure: _____

Please comment on any concerns over examination security: _____

Any other comments: _____

Signed: _____ Dated: _____

This report is confidential, and will be seen only by the relevant Chief Examiner, and the Director of Examinations.