

Appendix 6 Indicative sanctions against candidates

This table is for guidance only and sanctions can be flexibly applied according to the details of each individual case

In instances where the box is blank, the sanction may be used.

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

Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 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 examination room notes in the wrong format or prohibited annotations	notes/annotations go beyond what is permitted but do not give an advantage; content irrelevant to subject	notes/annotations are relevant and give an unfair advantage	notes/annotations introduced in a deliberate attempt to gain an advantage
Unauthorised notes, study guides and personal organisers	content irrelevant to subject	content relevant to subject	relevant to subject and evidence of use
Mobile phone or similar electronic devices (including iPod, MP3/4 player, memory sticks, Smartphone, Smartwatch)	not in the candidate's possession but make 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 being used by the candidate
Watches (not Smartwatches)	in candidate's possession		
Standard sanctions:			
1. warning;		6. disqualification from all units in one or more qualifications taken in the series;	
2. loss of marks;		7. disqualification from the whole qualification;	
3. loss of all marks gained in a component;		8. disqualification from all qualifications taken in that series;	
4. loss of all 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 (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 5-9)
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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 a designated seat; significant amount of writing after being told to stop	related 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 evidence of the integrity was maintained	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 use of offensive language)	minor disruption lasting a short time; calling out, causing noise, turning around	repeated or prolonged disruption; unacceptably rude remarks; being removed from the examination room; taking another's possessions	warnings ignored; provocative or aggravated behaviour; repeated or loud offensive comments; physical assault on staff or property

Standard sanctions:

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| <ol style="list-style-type: none"> 1. warning; 2. loss of marks gained for section; 3. loss of all marks gained for a component; 4. loss of all marks gained for a unit; 5. disqualification from the unit; | <ol style="list-style-type: none"> 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. |
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Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 5-9)
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Exchange, obtaining, receiving, or passing on information which could be examination related (or the attempt to):

Verbal communication	isolated incidents of talking before the start of the examination or after papers have been collected	talking during the examination about matters not related to the exam; accepting examination related information	talking about examination related matters during the exam; whispering answers to questions
Communication	passing/receiving written communications which clearly have no bearing on the assessment	accepting assessment related information	passing assessment related information 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
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Standard sanctions:

<ol style="list-style-type: none"> 1. warning; 2. loss of marks gained for section; 3. loss of all marks gained for a component; 4. loss of all marks gained for a unit; 5. disqualification from the unit; 	<ol style="list-style-type: none"> 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.
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Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 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; due to a deliberate attempt to share work
Plagiarism: unacknowledged copying from or reproduction of published sources (including the internet); incomplete referencing	minor amount of plagiarism/poor referencing in places	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 or allowing work to be copied (including the misuse of technology)	lending work not knowing it would be copied	permitting examination script/work to be copied; showing other candidates' answers	copying from another candidate's script, controlled assessment, coursework, non-examination assessment; borrowing work to copy
Undermining the integrity of the examinations/assessments			
The deliberate destruction of work	minor damage to work which does not impair visibility	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 sanctions:

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| <ol style="list-style-type: none"> 1. warning; 2. loss of marks gained for section; 3. loss of all marks gained for a component; 4. loss of all marks gained for a unit; 5. disqualification from the unit; | <ol style="list-style-type: none"> 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; 9. barred from entering for examinations for a set period of time. |
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Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 5-9)
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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 from the examination room; facilitating malpractice on the part of others; passing or distributing assessment related information to others

Removing or stealing any candidate's work

Unauthorised removal of any candidate's work (e.g. project/coursework)

Personation

deliberate use of wrong name or number; personating another individual; arranging to be personated

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 sanctions:

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| <ol style="list-style-type: none"> 1. warning; 2. loss of marks gained for section; 3. loss of all marks gained for a component; 4. loss of all marks gained for a unit; 5. disqualification from the unit; | <ol style="list-style-type: none"> 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. |
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Type of offence	Warning (Sanction 1)	Loss of marks (Aggregation still permitted) (Sanctions 2-4)	Loss of aggregation or certification opportunity (Sanctions 5-9)
Use of social media for the exchange and circulation of real or fake assessment materia	attempting to source secure assessment related information online/via social media	accepting/receiving real or fake assessment related information via social media without reporting it to the awarding body	misuse of assessment material (real or fake) including: attempting to gain or gaining prior knowledge of assessment information via social media; improper disclosure of real or fake assessment information; passing or distributing real or fake assessment related information to others

Standard sanctions:

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| <ol style="list-style-type: none"> 1. warning; 2. loss of marks gained for section; 3. loss of all marks gained for a component; 4. loss of all marks gained for a unit; 5. disqualification from the unit; | <ol style="list-style-type: none"> 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. |
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