# 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 still 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, AirPods, earphones and headphones) | not in the candidate's possession but makes a noise during the examination | 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;<br>**2.** loss of all marks gained for a section;<br>**3.** loss of all marks gained for a component;<br>**4.** loss of all marks gained for a unit;<br>**5.** disqualification from the unit; | | **6.** disqualification from all units in one or more qualifications taken in that series or academic year;<br>**7.** disqualification from the whole qualification;<br>**8.** disqualification from all qualifications taken in that series or academic year;<br>**9.** barred from entering for examinations for a set period of time. | |

| **Type of offence** | **Warning** (Sanction 1) | **Loss of marks** (Aggregation still permitted) (Sanctions 2-4) | **Loss of aggregation or certification opportunity** (Sanctions 5-9) |
|---|---|---|---|
| **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 | repeated 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:**

**1.** warning;

**2.** loss of all marks gained for a section;

**3.** loss of all marks gained for a component;

**4.** loss of all marks gained for a unit;

**5.** disqualification from the unit;

**6.** disqualification from all units in one or more qualifications taken in that series or academic year;

**7.** disqualification from the whole qualification;

**8.** disqualification from all qualifications taken in that series or academic year;

**9.** barred from entering for examinations for a set period of time.

| Type of offence | Warning (Sanction 1) | Loss of marks (Aggregation still permitted) (Sanctions 2-4) | Loss of aggregation or certification opportunity (Sanctions 5-9) |
|---|---|---|---|
| **Exchanging, 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 offensive or obscene material in scripts, controlled assessments, coursework, non-examination assessments or portfolios | Isolated offensive words or drawings | Frequent offensive words or drawings; isolated obscenity or offensive comments directed at an individual or group | Frequent obscenities; discriminatory language, remarks or drawings directed at an individual or group. |
| **Standard sanctions:** | | | |
| **1.** warning;<br>**2.** loss of all marks gained for a section;<br>**3.** loss of all marks gained for a component;<br>**4.** loss of all marks gained for a unit;<br>**5.** disqualification from the unit; | | **6.** disqualification from all units in one or more qualifications taken in that series or academic year;<br>**7.** disqualification from the whole qualification;<br>**8.** disqualification from all qualifications taken in that series or academic year;<br>**9.** barred from entering for examinations for a set period of time. | |

| **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 others 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 third party sources (including the internet and AI tools); incomplete referencing | minor amount of plagiarism/poor referencing in places | plagiarism from work listed in the bibliography or referenced/acknowledged; **or** minor amount of plagiarism from a source not listed in the bibliography or referenced / acknowledged | plagiarism from work not listed in the bibliography or referenced/acknowledged; **or** plagiarised text consists of the substance of the work submitted and the source is listed in the bibliography or referenced / acknowledged |
| 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:**

**1.** warning;

**2.** loss of all marks gained for a section;

**3.** loss of all marks gained for a component;

**4.** loss of all marks gained for a unit;

**5.** disqualification from the unit;

**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.

| **Type of offence** | **Warning** (Sanction 1) | **Loss of marks** (Aggregation still permitted) (Sanctions 2-4) | **Loss of aggregation or certification opportunity** (Sanctions 5-9) |
|---|---|---|---|
| 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 access to assessment related information (including electronic means); 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 improperly; attempted bribery; attempting to unfairly influence a centre staff member, awarding body staff member or other assessment representative; attempting to obtain or supply exam materials improperly |

**Standard sanctions:**

**1.** warning;

**2.** loss of all marks gained for a section;

**3.** loss of all marks gained for a component;

**4.** loss of all marks gained for a unit;

**5.** disqualification from the unit;

**6.** disqualification from all units in one or more qualifications taken in that series or academic year;

**7.** disqualification from the whole qualification;

**8.** disqualification from all qualifications taken in that series or academic year;

**9.** barred from entering for examinations for a set period of time.

| **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 material | 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 |
| Obstructing or hindering a malpractice investigation | failing to report suspected malpractice by other candidates | providing incomplete information to those gathering information for a malpractice investigation | providing misleading and/ or significantly incomplete information to those gathering information for a malpractice investigation |

**Standard sanctions:**

**1.** warning;

**2.** loss of all marks gained for a section;

**3.** loss of all marks gained for a component;

**4.** loss of all marks gained for a unit;

**5.** disqualification from the unit;

**6.** disqualification from all units in one or more qualifications taken in that series or academic year;

**7.** disqualification from the whole qualification;

**8.** disqualification from all qualifications taken in that series or academic year;

**9.** barred from entering for examinations for a set period of time.