ACADEMIC AND PROFESSIONAL MALPRACTICE
# Academic and Professional Malpractice

## Contents

1. **Academic Malpractice** ........................................................................................................ 3
   1.1 Introduction ............................................................................................................................... 3
   1.2 Responsibilities of ICA Students..................................................................................... 3
   1.3 Principles Governing the Submission of Work ........................................................ 4
   1.4 Definitions of Academic Malpractice ............................................................................ 4
       1.4.1 Cheating in examinations ...................................................................................... 4
       1.4.2 Plagiarism ...................................................................................................................... 5
       1.4.3 Collusion ........................................................................................................................ 5
       1.4.4 Fabrication and Falsification ............................................................................... 5
       1.4.5 Impersonation ............................................................................................................. 6
       1.4.6 Producing inappropriate or offensive material .......................................... 6
   1.5 Procedures for Dealing with Academic Malpractice ............................................ 6
       1.5.1 Scope of the Procedures ....................................................................................... 6
       1.5.2 Reporting concerns about suspected malpractice in examinations and assessments ........................................................................................................ 6
       1.5.3 Procedures for dealing with suspected malpractice in examinations ............................................... 7
       1.5.4 Procedures for dealing with suspected malpractice in assignments or written work ........................................................................................................ 7
       1.5.5 Cases referred to an ICA Malpractice Committee ................................... 8

2. **Professional Misconduct** .................................................................................................... 9
   Member Conduct .................................................................................................................... 9
   ICA Expectations of Members ......................................................................................... 9
   Maintaining Professional Standards .............................................................................. 9
   Membership Terms and Conditions ........................................................................... 10
   Cases referred to an ICA Malpractice Committee ................................................. 11

3. **ICA Malpractice Committee** .......................................................................................... 12
   3.1 Composition of the Malpractice Committee........................................................... 12
   3.2 Procedures for the Malpractice Committee............................................................ 12
   3.3 Assessing the Severity of Academic Malpractice .................................................. 14
   3.4 Outcomes of cases referred to the Malpractice Committee .................................. 15
   3.5 Matters following the meeting of the Malpractice Committee ......................... 15
   3.6 Referring outcomes to the Assessment Board....................................................... 16
3.6.1 Plea in Mitigation ..................................................................................................... 16
3.6.2 Appeals .................................................................................................................. 16

3.7 Roles and Responsibilities of Personnel engaged in Malpractice
Procedures .................................................................................................................. 17
3.7.1 The Secretary to the Malpractice Committee .................................................. 17
3.7.2 The Chair of the Malpractice Committee ...................................................... 17
3.7.3 The Malpractice Committee .......................................................................... 17
3.7.4 The Chair of the Malpractice Committee ...................................................... 17
3.7.5 The Supporting Person .................................................................................... 17

3.8 Review of the Procedures .................................................................................... 18

4. Appendices ............................................................................................................. 19
4.1 Appendix A — Matter of Academic Malpractice not referred to a
Malpractice Committee .............................................................................................. 19
4.1.1 Plagiarism ...................................................................................................... 19
4.1.2 Late submissions ......................................................................................... 19
4.1.3 Exceeding word count ............................................................................... 19
4.1.4 Other matters ............................................................................................. 20
4.2 Appendix B - ICA use of Turnitin software ....................................................... 21
1. Academic Malpractice

1.1 Introduction

The rules of discipline contained herein apply to all registered ICA students irrespective of their mode, level or place of study.

Academic malpractice is any activity — intentional or otherwise — that is likely to undermine the integrity essential to the qualifications offered by ICA. It includes plagiarism, collusion, fabrication or falsification of results, and anything else that could result in unearned or undeserved credit for those committing this offence. Academic malpractice can result from a deliberate act of cheating, but may be committed unintentionally through failures to cite materials adequately. Whether intended or not, all incidents of academic malpractice will be treated seriously by ICA.

No circumstances justify academic malpractice, and a penalty must always be applied. Although candidates may present evidence of mitigating circumstances, it must always be borne in mind that candidates are encouraged to bring such circumstances to the attention of ICA at the earliest possible opportunity.

It will always be the case that evidence of mitigating circumstances will be assessed, however, it is up to ICA to decide whether they may be taken into account when determining the penalty to be applied. This will enable ICA to consider offering appropriate help; this is in accordance with the ICA Policy and Procedures on Mitigating Circumstances. Lack of time, or too much work, do not constitute mitigating circumstances.

ICA is obliged, when determining a penalty to be imposed as a consequence of academic malpractice, to take account of the consequences which the penalty will have for the academic progression of the candidate concerned.

ICA regards any form of academic malpractice as a serious matter. Where academic malpractice is proven the candidate(s) risk having their qualifications permanently withheld and having their professional membership cancelled.

1.2 Responsibilities of ICA Students

All students have a responsibility to be aware of the policy and procedures contained herein, to understand the seriousness of academic malpractice and to take every reasonable step to ensure that academic malpractice does not occur.

Students have access to guidance on understanding plagiarism and the use of Turnitin as a diagnostic developmental tool in the ICA Assessment Handbook.
1.3 Principles Governing the Submission of Work

The assessment of students is based on the principle that, unless clearly stated in the assessment criteria, the work submitted by a registered student for assessment has been carried out by that student, and their own work.

Where group work is an approved part of the assessment process, the assessment instructions will make clear the nature, content and assessment criteria of such group based activity.

All elements of assessment must be the student’s own work and any passages quoted, paraphrased or opinions relied upon must be properly attributed and cited using the correct method (guidance on how to reference work is in the ICA Assessment Handbook)

The ICA accepts that a student’s writing can be influenced by the work of others, but such work must not be copied or paraphrased in whole sentences or paragraphs without appropriate acknowledgement.

By submitting work for assessment candidates are declaring that the submitted work is their own, and also that it has not been submitted in a similar or identical form towards other assessment or qualification by the student or any other person.

This is undertaken by submitting the work online through a student account. If this procedure has not been followed, the ICA has the right to refuse to mark the piece until the student has complied.

1.4 Definitions of Academic Malpractice

1.4.1 Cheating in examinations

Cheating in examinations includes the following:

i. Communicating with or copying from any other student during an examination, except in so far as the rubric may specifically permit.

ii. Communicating during an examination with any person other than a properly authorised invigilator or another authorised member of staff.

iii. Introducing any written, printed or electronically stored information into an examination room, unless expressly permitted by the criteria/rubric for the examination.

iv. Gaining access to any unauthorised material relating to an examination during or before the specified time.

v. Making use of electronic calculators and other portable electronic devices except as permitted under the rubric of the examination, and in the provision for students with additional assessment requirements.

vi. Fabricating information in an examination, e.g. use of artificial citations.

vii. Impersonating another student, or procuring an impersonator.
1.4.2 Plagiarism

Plagiarism consists of unacknowledged use of someone else’s work and attempting to pass it off as one’s own. It includes the representation of work: written, visual, practical or otherwise, of any other person, including another student or anonymous web-based material, or any institution, as the candidate’s own. It may take the form of:

i. Wholesale verbatim copying or insertion of multiple paragraphs of another person’s work (published or unpublished and including material freely available in electronic form and including work of another student) without acknowledgement of sources.
ii. The close paraphrasing of another person’s work by simply changing a few words or altering the order of presentation, without acknowledgement.
iii. Unacknowledged quotation of phrases from another person’s work.
iv. The deliberate and detailed presentation of another person’s concept as one’s own.
v. Ghost writing – where a student requests another student or external body to write/produce material for them for purposes of submitting it as their own. This also includes the downloading or purchasing of essays from the Internet.
vi. Resubmitting one’s own work in its entirety (or substantial sections) which has previously been submitted for another module or programme.

The ICA provides guidance on referencing through its Assessment Handbook.

1.4.3 Collusion

Collusion occurs where a student:

i. Knowingly submits as entirely his/her own work, work produced in collaboration with another person without approval of the ICA.
ii. Collaborates with another student in the production of work which they know is intended to be submitted as that other student’s own unaided work.
iii. Knowingly permits another student to copy all or part of their own work and to submit it as that student’s own unaided work.

1.4.4 Fabrication and Falsification

Fabrication of results occurs when a candidate falsely claims to have, for example, carried out tests, research or observations as part of his/her assessed work, or presents fabricated results arising from the same with the object of gaining an advantage.

Fabrication may also include, for example, reporting/presentation of artificial references or other source material purporting to demonstrate a depth of reading/knowledge beyond that undertaken, or to deflect the reader from plagiarised material, e.g. embellishment of the bibliography.

Falsification also includes making false statements or falsifying evidence in support of applications, for example for mitigating circumstances or academic
appeals. Where evidence is related to disability and reasonable adjustments, the ICA reserves the right to seek a second opinion and/or further information if there is a substantial concern about the level, or standard, of evidence.

1.4.5 Impersonation

Impersonation is the assumption by one person of the identity of another, with intent to deceive in the assessment process and constitutes malpractice.

1.4.6 Producing inappropriate or offensive material

The following would be regarded as malpractice:

- obscenities, offensive comments
- racist remarks, lewd comments and drawings
- material which may cause offence to ICA markers or ICA members of staff.

1.5 Procedures for Dealing with Academic Malpractice

1.5.1 Scope of the Procedures

All assessment items submitted (assignments and examinations) will be subject to scrutiny for malpractice until the point at which marks are confirmed by the ICA Assessment Board.

Where suspected malpractice has been discovered at a late stage in the assessment process and has not been resolved at the time of the Assessment Board meeting, the Board will not consider the student’s marks until the investigation has been conducted and the matter resolved.

Where suspected malpractice requires consideration under major malpractice procedures, and a Malpractice Committee (MC) therefore convened, the Committee shall consider only that work specifically identified. It is not the business of the MC to seek to unearth wider evidence of malpractice by the same student(s). However, where a student has been subject to these procedures at an earlier date, the MC will receive appropriate notification of such.

Should multiple incidents of malpractice arise simultaneously for the same student, the MC will investigate all incidents at the same time.

1.5.2 Reporting concerns about suspected malpractice in examinations and assessments

Sometimes, a candidate or member of the public has reason to believe that malpractice has or will occur in an examination or assessment. Concerns should be reported to the ICA (icaassessments@int-comp.org).

Members of staff who wish to report suspected malpractice relating to where they work are protected as per the Public Interest Disclosure Act (PIDA). Members of
the public are not protected by PIDA, but ICA will make every effort to protect their identity if that is what they wish, unless legally obliged to release it.

ICA takes all reports of malpractice seriously, however, in order to investigate concerns effectively, we will require information of a reasonably detailed standard. We will accept anonymous reports, although knowing how the information has been obtained and the reporting party’s relationship with the candidate(s) may add credibility.

Anyone wishing to report suspected malpractice to ICA should include as much of the following information as possible/is relevant:

- the qualifications and subjects involved
- the candidate(s) involved
- the regulations breached/specific nature of suspected malpractice
- when and where the suspected malpractice occurred
- how the issue became apparent.

Documentary evidence can be particularly useful and should be provided where it is available. Reports of suspected malpractice should be sent to icaassessments@int-comp.org

1.5.3 Procedures for dealing with suspected malpractice in examinations

A student suspected of cheating will be allowed to complete his/her examinations in the normal way and the normal assessment procedures will be initiated.

When cheating is suspected the ICA Senior Manager (Qualifications and Assessment) will be informed immediately by the invigilator(s) or other members of staff involved, who will provide a full report in writing.

1.5.4 Procedures for dealing with suspected malpractice in assignments or written work

If academic malpractice is suspected in an assignment, written portfolio or similar piece of work, the work should continue to be marked or assessed to gather evidence of the extent of the alleged malpractice, and the matter should be reported to the Chief Examiner. The formal assessment process should then be suspended and the result withheld pending an investigation.

The Chief Examiner(s) should submit a brief report, identifying the possible malpractice to ICA who will undertake the investigation.
1.5.5 Cases referred to an ICA Malpractice Committee

Where ICA suspects that malpractice has occurred in any given assessment item (examination or assignment) as defined above, the matter shall be referred to the Malpractice Committee.

The secretary of the Malpractice Committee, on receipt of the evidence, will call for a meeting with the student. In doing so, the secretary will:

- identify a time and date such that there is sufficient notice to the student
- make a request in writing, stating time, date and location for the meeting with reference to the purpose of the meeting, which shall include an understanding that the meeting is designed to address the issue of academic malpractice
- make clear to the candidate that they have the right to bring with them a person of their choice (who may speak on their behalf)
- make clear to the candidate that they are encouraged to attend such a meeting as part of the learning process. Failure to do so will result in a decision being made about the outcome in the student’s absence.
2. Professional Misconduct

The rules of discipline contained herein apply to all current members of the ICA irrespective of the level of membership or the sector or jurisdiction in which they work.

ICA have four different levels of individual membership.

- Affiliate
- Associate
- Professional
- Fellow

Each level requires members to sign up to, and operate in accordance with, the ICA Code of Conduct and complete either a recommended or mandatory level of continuing professional development (CPD) annually.

The ICA Code of Conduct can be found at https://www.int-comp.org/membership/ethics/

2.1 Member Conduct

All individuals are required to act in a fair and honest manner. This is to protect the interests of customers, colleagues and counterparties, and the wider interests of society as a whole. As a minimum, compliance with legislation, regulation and industry/employer codes and standards is expected.

2.2 ICA Expectations of Members

Membership of the International Compliance Association brings with it additional responsibilities. All members (including Fellows, Members, Associates and Affiliates) are expected to display the highest standards of professionalism and a commitment to ethical conduct, giving at all times due care and consideration to others and putting the public interest first.

To help members maintain these high standards, the ICA Code of Conduct identifies the ethical and professional attitudes and behaviour expected of members, and provides guidance to help members recognise and develop these.

2.3 Maintaining Professional Standards

All members are bound by the ICA Code of Conduct. Where members fail to live up to the high standards expected of them, the Association may investigate and present evidence to an independent Disciplinary Committee, convened in accordance with our membership terms and conditions (see below), which are binding on all members.
In brief, a disciplinary breach by or in respect of a member occurs when:

(i) Criminal sanctions have been imposed on the member; or
(ii) Sanctions have been imposed on the member by a regulator or other competent body; or
(iii) The member is lawfully dismissed by the member’s employer for misconduct; or
(iv) The member breaches, or does not comply with, the association’s continuing professional development (CPD) requirements; or
(v) The member acts in breach of the association’s course rules and regulations, including providing false information with respect to existing qualifications, plagiarism in respect of course assignments and breaching examination conditions; or
(vi) The member brings the association into disrepute (there must be a clear and direct relationship between the member’s actions and the reputation of the association); or
(vii) The member is in breach of one or more provisions of the Code of Professional Conduct.

After considering the evidence, the independent Disciplinary Committee may impose a range of sanctions on members found to have breached the ICA Code of Conduct, ranging from admonishment to expulsion.

Complaints against a member regarding an alleged breach of the Code of Professional Conduct by a member of the Institute should be made in writing to:

The Executive President
ICA
Wrens Court
52 - 54 Victoria Road
Sutton Coldfield
Birmingham
B72 1SX.

Members of the public wishing to make complaints should note that ICA may only investigate complaints against individuals who are current members of the Association. We are not a statutory regulator and cannot investigate complaints against companies and/or individuals who are not members of the ICA.

2.4 Membership Terms and Conditions

Anyone applying for admission as a Member of the International Compliance Association undertakes that, if accepted and as long as they remain a member of the ICA, they will:

- comply with the regulations of the ICA for the time being in force
- uphold and abide by the Association’s Code of Conduct (code of conduct are available on the ICA website)
- undertake the annual Ethics module and required amount of Continuing Professional Development (CPD) appropriate to my membership level each year, to ensure their knowledge remains up to date
• use the designation applicable to my level of membership and the
designatory letters where appropriate (AICA, MICA or FICA).

They must confirm that they have never been:

• declared bankrupt either individually or as a partner in a firm, made or
agreed to make an assignment for the benefit of creditors or made any
arrangement or composition with creditors or executed any similar deed or
agreement or taken or attempted to take the benefit of any statutory
provision for arrangement with creditors
• the subject of a finding of professional misconduct against them by any
professional body; and there is no outstanding matter of professional
conduct concerning them
• dismissed from any employment for a reason other than redundancy
• convicted of a criminal offence (other than minor motoring offences or an
offence that is now spent).

Members must understand that should a clear infringement of this code or the
principles it contains come to the attention of the Association, it would be just
cause to refer the case to an ICA Malpractice Committee.

One possible outcome of such a disciplinary hearing would be a withdrawal of
Membership, which the association reserve the right to make public.

2.5 Cases referred to an ICA Malpractice
Committee

Where ICA suspects that professional misconduct (as defined above) has
occurred the matter shall be referred to the Malpractice Committee.

The secretary of the Malpractice Committee, on receipt of the evidence, will call
for a meeting with the member. In doing so, the secretary will:

• identify a time and date such that there is sufficient notice to the member
• make a request in writing, stating time, date and location for the meeting
with reference to the purpose of the meeting, which shall include an
understanding that the meeting is designed to address the issue of
suspected professional misconduct
• make clear to the member that they have the right to bring with them a
friend
• make clear to the member that they are encouraged to attend such a
meeting as part of the learning process. Failure to do so will result in a
decision being made about the outcomes in the member’s absence.
3. ICA Malpractice Committee

All instances of suspected academic malpractice or professional misconduct will be referred to an ICA Malpractice Committee.

3.1 Composition of the Malpractice Committee

i. A Malpractice Committee will be drawn from a pool of ICA Chief Examiners, External Examiners and members of the ICA Senior Executive team.

ii. A Malpractice Committee shall comprise the Chair and two members taken from the pool, together with the appropriate secretarial support. No member of the Committee shall be someone who would be involved in the assessment of the candidate’s work.

iii. Each Malpractice Committee shall have an appointed chairperson. Normally, this will be a member of the ICA Senior Executive team. The Chair of the Committee will have the casting vote.

iv. The Committee shall be supported by a Secretary and whose role will be to provide administrative support and advice, and to ensure that all written communications occur appropriately.

v. The Chief Examiner for the qualification in question may have right of attendance at a Malpractice Committee if this is deemed necessary.

3.2 Procedures for the Malpractice Committee

i. All hearings shall be held in private.

ii. The Malpractice Committee will be convened with all possible speed (due sensitivity should be given to the timing of the formal assessment periods when convening the meeting, such as examinations, teaching or clinical practice etc.). Once the time, date and place of its meeting are known, notice will be sent to the student under investigation.

iii. The Malpractice Committee shall have the power to adjourn, continue or postpone an investigation at its discretion but shall at all times endeavour to complete its examination of the matter at the earliest opportunity. If the student does not appear on the date and time or at the place appointed, reasonable notice having been given, the Malpractice Committee may proceed to investigate the matter in the absence of the student.

iv. A student subject to these procedures shall have the right to appear in person before the Malpractice Committee and/or make representations in writing. Where appearing in person, the student may be accompanied by a friend or colleague.

v. ICA shall write to the student (giving reasonable notice of the hearing) to advise them of their right of attendance.

vi. Together with notice of the meeting the student shall be sent information specifying:

- the nature, date and time of the suspected malpractice, including a copy of the evidence
that they may call up to three persons to support their case, but that they must inform the secretary to the Committee prior to the hearing of the names of those persons and their relationship to the student.

- that they may be accompanied by a friend or colleague

- the procedures to be followed if the student wishes to appeal against any decision arising from the Malpractice Committee's report.

vii. The student will be asked to indicate whether or not they acknowledge that malpractice has occurred in writing to the Secretary to the Malpractice Committee. If such correspondence is not received, the Committee will assume that the student does not acknowledge that malpractice has occurred. Notwithstanding the student should appear before the Malpractice Committee for the consideration of the material and for examination of the evidence by the Malpractice Committee.

viii. The Malpractice Committee shall have placed before it by the Secretary all available evidence pertaining to the malpractice.

ix. The Malpractice Committee may hear evidence in any way it sees fit. This includes personal testimony of individuals and the production of documents or other relevant material evidence. The Chair and the student shall be entitled at the hearing to make an opening statement.

x. All proceedings and questions shall be conducted through the Chair.

xi. The Malpractice Committee may request either a viva or exam conditions test to examine the student's knowledge of the assessment item in question. The outcome of this will then be referred back to an Assessment Board for a final decision to be made.

During the meeting the Chair of the Malpractice Committee will:

a) explain the purpose of the meeting

b) make the student aware of the cause for concern and show them the relevant evidence

c) ascertain from the student any explanation in mitigation

d) discuss working methods and advise the student on how to recognise and to avoid future malpractice

e) explain to the student the possible outcomes and sanctions associated with such incidents (as detailed) and record any advice given

f) inform the student that they will be sent two copies of the brief record of the meeting, including a statement of advice and outcomes. Indicate that the student must sign both copies on receipt, and return one copy to the tutor. Failure to do so will be regarded as a breach of the outcomes.

The Malpractice Committee will establish an appropriate outcome for the incident, in accordance with section 3.3 and 3.4 below.

The secretary to the Malpractice Committee will:

i. Prepare the report which must include a précis of the meeting, the outcome arrived at and any advice issued.

ii. Send copies of the report to the student.

iii. Retain a copy of the report in case of further incidents, which require investigation.
3.3 Assessing the Severity of Academic Malpractice

Each case is different, and Malpractice Committees are expected to use their judgement in deciding the seriousness of an offence and deciding whether there are circumstances that might affect the severity of the penalty.

Committees must attempt to ensure consistency of treatment between cases, making and recording a judgement about what is a proportionate penalty.

Committees must ensure that the penalty chosen does not have consequences for academic progression owing to their disproportionate impact.

Factors to take into account when determining the penalty and its proportionality include the following:

a) the student’s level of study: the more advanced and experienced the student (the more serious the offence)
b) the proportion of the piece of work that was subject to malpractice (the higher the proportion, the more serious the offence)
c) the student’s previous history (a subsequent offence, occurring after a candidate has already received a warning or a penalty for academic malpractice, is more serious than a first offence)
d) the degree of intention to deceive in the piece of work in question (which might be assessed by, for example, efforts to change wording, poor referencing or lack of referencing of plagiarised material, evidence from earlier drafts), but also in the hearing itself by failure to tell the truth.

The judgement made on any case shall give details of the relevant factors taken into account, stating the degree to which they contributed to the decision and will state the Malpractice Committee’s intentions in terms of the impact of the penalty on progression/degree awarded. It will also refer to any other matters taken into account; for example, any mitigating circumstances, so that precedence and best practice may be established.

The written record will also be important in the event that the student makes an appeal concerning the disciplinary process/outcome.
3.4 Outcomes of cases referred to the Malpractice Committee

If the Malpractice Committee finds that there is no evidence of malpractice, the assessment should take place as normal.

Where the Malpractice Committee decides that there is de facto evidence that malpractice has occurred, a recommended penalty from the following will be applied:

a) where there are exceptional mitigating circumstances, assessment is set aside and the student is required to submit a new or revised item without incurring penalty

b) the mark for the specific item is reduced. Where this results in a fail grade, the student will be subject to normal reassessment procedures

c) the mark for the specific item is reduced. Where this results in a fail grade, the student will have the right to only one opportunity of reassessment

d) the student is deemed to have failed in the specific element of assessment where the malpractice has occurred. The student will be subject to normal reassessment procedures

e) the student is deemed to have failed in the specific element of assessment where the malpractice has occurred. The student will have no right to reassessment opportunities

f) the student may be expelled from the course without the award for which they registered

g) the student may be expelled from the course without the award for which they registered and barred from any future assessment

h) the student may be expelled from the course without the award for which they registered, barred from any future assessment and a withdrawal of Membership, which the association reserve the right to make public.

3.5 Matters following the meeting of the Malpractice Committee

The Secretary to the Malpractice Committee shall compile a written report to be agreed by the Chair and to be forwarded to the ICA Assessment Team and the relevant Assessment Board(s) as appropriate.

Where the Malpractice Committee is of the opinion that malpractice has occurred, its report will include an assessment of the seriousness of the incident and the outcome recommendation. A statement outlining the findings of the Malpractice Committee shall be communicated in writing to the student as soon as possible after the meeting.

The Chair will sign the Malpractice Committee’s report.

In all cases a record of the proceedings shall be kept, including details of the evidence presented by both sides and the decision of the Committee. Records will be retained for five years.
3.6 Referring outcomes to the Assessment Board

3.6.1 Plea in Mitigation

In cases where malpractice has been found, a student will have the right to submit a written plea in mitigation to the Assessment Board. This may then be considered by the Malpractice Committee for reconsideration of the penalty, if appropriate.

The student will not have the right to appear before, or be represented at, the Assessment Board while they consider the plea of mitigation. The Assessment Board shall have absolute discretion in the admission of such evidence as they may consider relevant to the student’s academic performance.

3.6.2 Appeals

The student has the right to appeal against the malpractice penalty applied under the ICA Appeals Procedures in instances where they believe there are grounds for material administrative error, or regulatory or procedural irregularity.

If a candidate wished to formally appeal they may do so in respect of the decisions of the Malpractice Committee and/or the Assessment Board only on the following grounds:

a. that there exists or existed circumstances affecting your performance of which, for good reason, the Assessment Board may not have been made aware when the decision was taken and which might have had a material effect on the decision [Note: if a candidate wishes to appeal on such grounds, they must give adequate reasons with supporting documentation why this information was not made available prior to the decision being made]

b. that here had been a material administrative error or procedural irregularity in the assessment process or in putting into effect the regulations for the programme of study of such a nature as to cause significant doubt whether the decision might have been different if the error or irregularity had not occurred

c. that there is evidence of prejudice or bias or lack of proper assessment on the part of one or more of the examiners.

An appeal which questions the academic or professional judgement of those charged with the responsibility for assessing a candidate’s academic performance or professional competence will not be permitted.

Appeals will be considered by a Malpractice Appeal Committee. Members of this will be drawn from a pool of ICA Chief Examiners, External Examiners and members of the ICA Senior Executive team. No person who considered the initial case shall be involved in the appeal hearing.

The Full ICA Appeal guidelines are available at:

www.int-comp.org/qualifications/assessment-guidelines/#AppealsProcedure
3.7 Roles and Responsibilities of Personnel engaged in Malpractice Procedures

3.7.1 The Secretary to the Malpractice Committee

The Secretary to the Malpractice Committee is responsible for:

i. Informing the student of the details relating to investigations to be conducted under the major procedures.
ii. Administrative support and advice on procedures.
iii. Convening the Malpractice Committee and of providing all documentation/evidence.
iv. Producing the written report of the Malpractice Committee.
v. Recording and minuting the meeting
vi. Ensuring that all written communications occur appropriately.
vii. Preserving records of the meeting

3.7.2 The Chair of the Malpractice Committee

The Chair of the Malpractice Committee is responsible for managing the conduct of the Committee (in accordance with Appendix 3d) and to ensure that the Secretary is informed of any additional material/evidence required for the purposes of the investigation.

3.7.3 The Malpractice Committee

The Malpractice Committee is responsible for investigating each case thoroughly, in accordance with the procedures. The Committee is also responsible for establishing an outcome in accordance with Appendix 3d and, on conclusion of the matter, for signing the written report.

3.7.4 The Chair of the Malpractice Committee

The Chair of the Assessment Board is responsible for receiving the written report of the Malpractice Committee and for making a recommendation, based on the outcome, to the Assessment Board.

3.7.5 The Supporting Person (friend)

The designated person is eligible to provide support to the student at the time of the meeting of the Malpractice Committee. This would normally involve their being in attendance and, where necessary, assisting the student with their responses. It is not normal for the friend to speak out on the student’s behalf entirely, owing to the purpose of the inquiry. They may, however, assist with articulation of responses and, where appropriate, issues of recall.
3.8 Review of the Procedures

The ICA reviews these procedures periodically.
4. Appendices

4.1 Appendix A — Matter of Academic Malpractice not referred to a Malpractice Committee

Matters that shall be noted at the Assessment Board and reported to the candidate but which do not require referral to an Academic Malpractice Committee include:

4.1.1 Plagiarism

ICA can reduce the marks for assignments with Turnitin scores of between 30% and 50% to reflect the proportion of the content that is deemed to be the candidate’s own work.

Where there are assignments with Turnitin scores of over 50% the candidate will automatically receive a mark of zero.

ICA may refer cases to an Academic Malpractice Committee where:

- candidates have Turnitin scores of over 50%
- candidates have Turnitin scores of over 30% which includes a match with work submitted by another candidate (either for the same, previous or different assessment).

4.1.2 Late submissions

Penalties will be applied to those candidates who submit their assignment or coursework after the due date as follows:

- an assignment received between 1 to 7 days after the due date will receive an initial penalty of 5 marks deducted from the mark awarded
- an assignment received between 8 to 14 days after the due date will receive additional penalties of 2 marks per day up to 14 days
- an assignment received 15 or more days after the due date will not be accepted for marking.

4.1.3 Exceeding word count

Penalties (mark reductions) will be applied for excessive word count as follows:

- 1% - 10% over the specified word limit: 10 marks
- 11% - 25% over the specified word limit: 20 marks
- 26% - 50% over the specified word limit: 30 marks

If candidates submit an assignment in excess of 50% over the specified word limit, the work will not be marked and a mark of zero will be recorded.
4.1.4 Other matters

- Excessive appendices
- No inclusion of bibliography or referencing

Possible sanctions for these matters include:

- no action to be taken
- requirement to revise the original document, with appropriate corrections to the affected sections. This will normally require submission within 48 hours of the meeting, but will not incur a penalty
- reduction in the mark for the assessment item based on excessive appendices – with a maximum adjustment of 10% of the total mark
- require the student to resubmit the assessment item or resit the examination, for a maximum mark of 50

ICA retain the right to refer any cases listed above to an Academic Malpractice Committee where there are concerns that it is part of a wider or repeated similar behaviour.
4.2 Appendix B – ICA use of Turnitin software

To check candidates are working in a fair and academically appropriate manner, ICA uses text comparison software to detect potential cases of plagiarism in work that is submitted for assessment. Turnitin, carries out the equivalent of an Internet search, looks for matches between the text included in a piece of work submitted by a candidate with all forms of information and resources publicly available on the Internet.

The main use of Turnitin is to check for cases of direct copying, and/or not properly referencing various types of source materials. It can also be used to compare each student’s assignments with the module materials and other commonly used or provided references.

For each assignment submitted to Turnitin, an ‘originality’ report is produced showing the percentage of text that matches specific websites.

These reports will be made available to the assessment team and in some cases they may decide to take the matter further. This may result in some further guidance about academic conduct and support to avoid any further incidents or, if more serious, may result in further action taking place.

Depending on the questions being asked and the format of the submitted answer, some level of matching between scripts and with other sources is expected. The Assessment Team will take all such matters into account when reviewing each of the reports and deciding whether a student has plagiarised.

ICA will review carefully any assignment where a report contains more than 30% of text matches after the expected level of matching has been removed.

The ICA Designated Officer will assess whether or not the evidence suggests that academic malpractice, as defined in paragraph 1, may have been committed.

If the ICA Designated Officer judges that the case does not constitute academic malpractice but rather poor academic practice, the matter will be referred back to the tutor or partner organisation responsible for the candidate, with appropriate advice as to how to proceed [advice may include, for example, that ‘poor referencing’ = ‘a poor piece of work’ and should be marked accordingly]. In such instances, it is essential that the candidate is given appropriate feedback and guidance.

In determining whether an instance constitutes a repeat (subsequent) offence, penalties applied in a previous programme of study/award shall not be included. Repeat offences are those that take place in work contributing to a single award. A penalty for academic malpractice applied during the course of an advanced certificate programme does not constitute a previous offence in the case of the same candidate who is currently studying for a diploma. After a penalty is applied to an assessment within a programme any further infringement within that programme will be considered a repeat offence.