Contents

Welcome .................................................................................................................................................. 4

1. Part One – Assessment Overview ........................................................................................................ 5
  1.1 Key Contacts at ICA ......................................................................................................................... 5
  1.2 Assessment method .......................................................................................................................... 5
  1.3 The Marking process ....................................................................................................................... 6
  1.4 Results ............................................................................................................................................... 6
    1.4.1 Assignment results ..................................................................................................................... 6
    1.4.2 Examination and final awarding results ...................................................................................... 6
    1.4.3 Feedback ................................................................................................................................... 7
    1.4.4 Certificates ................................................................................................................................ 7
  1.5 Grading ........................................................................................................................................... 7
  1.6 Pass marks ....................................................................................................................................... 7
  1.7 Re-submitting assignments and retaking examinations ...................................................................... 8
    1.7.1 Resit fees .................................................................................................................................... 9
    1.7.2 Overall failure ............................................................................................................................ 9
    1.7.3 Number of resits ....................................................................................................................... 9
    1.7.4 Resit and resubmission results .................................................................................................. 9
    1.7.5 Not entitled to resit or resubmit .................................................................................................. 9
  1.8 Mitigating circumstances .................................................................................................................. 10
    1.8.1 What is mitigation? .................................................................................................................... 10
    1.8.2 Approaching ICA ....................................................................................................................... 10
    1.8.3 Nature of mitigating circumstances .......................................................................................... 10
    1.8.4 Claiming mitigation ................................................................................................................. 11
    1.8.5 Deferring assessment .............................................................................................................. 12
  1.9 ICA policy on alternative assessments .............................................................................................. 12
    1.9.1 Students with disabilities .......................................................................................................... 12
    1.9.2 E-Assessment of students with disabilities ............................................................................ 13
  1.10 Appeals ........................................................................................................................................... 13

2. Part Two – Assignments ................................................................................................................... 15
  2.1 Assignments ..................................................................................................................................... 15
    2.1.1 Format/setting out your assignment .......................................................................................... 15
2.1.2 Word count ................................................................. 15
2.1.3 How to submit ............................................................ 16
2.1.4 Turnitin ................................................................. 16
2.1.5 Problems submitting .................................................. 16
2.1.6 Non-submission ......................................................... 16
2.1.7 Late submission ........................................................ 17
2.1.8 Mitigating circumstances ......................................... 17
2.1.9 Anonymous marking ................................................ 17
2.1.10 Support ............................................................... 17
2.2 Assignment extensions .................................................. 17
2.2.1 Circumstances or events that merit consideration ........ 18
2.2.2 Circumstances or events that would not merit consideration...... 18
2.3 Appendices ................................................................. 19
2.3.1 The use of appendices ............................................... 19
2.3.2 What to include in appendices .................................. 19
2.4 Referencing and citation ................................................ 19
2.4.1 Citation ..................................................................... 19
2.4.2 Methods of reference ................................................. 20
2.4.3 Reference list .......................................................... 21
2.4.4 Bibliographies .......................................................... 21
2.4.4 Word count ............................................................ 22
3. Part Three – Examinations ................................................. 23
3.1 Introduction ................................................................. 23
3.2 Public examinations ...................................................... 23
3.2.1 Open-book examinations ......................................... 23
3.2.2 Advanced Certificate ............................................... 23
3.2.3 Advanced Certificate in Practical Customer Due Dilligence (CDD) ........................................ 24
3.2.4 Singapore Advanced Certificate in GRC) .......................... 24
3.2.5 Diploma ................................................................. 24
3.3 In-house Examinations .................................................. 24
3.3.1 Advanced Certificate Format .................................... 24
3.3.2 Open- book/closed-book examinations ....................... 25
3.4 Non-attendance at an examination ................................ 25
3.5 ICA Examination – Frequently Asked Questions .............. 25
4. Part Four – Academic malpractice .................................... 32
4.1 Definitions of Academic Malpractice

4.1.1 Examinations

4.1.2 Plagiarism

4.1.3 Collusion

4.1.4 Fabrication and falsification

4.1.5 Impersonation

4.1.6 Producing inappropriate or offensive material

4.2 Consequences of non-compliance

Appendix A: Notification of Mitigating Circumstances
Welcome

Welcome to your student handbook and thank you for choosing to study with ICA.

This handbook has been designed for you to use during your programme of study. It outlines the ICA’s policy relating to the different elements of assessment required during your course and explains the outcomes and/or results you will receive at the end of each course.

It is important that you carefully read this document and use the information and guidance it provides. If you require further clarification, you can ask your tutor for advice, or contact the ICA Assessment team at icaassessments@int-comp.org

If you have completed qualifications with ICA previously, you need to be aware that some aspects of policy, procedure and deadlines relating to assessment matters may have changed. Please do not assume that arrangements which have applied to your previous study automatically continue. You must ensure that you adhere to the information included in this handbook.

As you may know, all students studying towards an ICA qualification will need to be a member of ICA. Most people will be an Affiliate member although you might be an Associate, MICA or FICA if you have already completed a qualification with us.

If you haven’t yet accessed the ICA website, it is important that you do so to become familiar with its content, most notably the CPD area that offers over 7000 pieces of learning designed to help you when you come to complete your assessments.

All assignment and examination results are collected from the ICA website, so if your membership application has not yet been completed, it is important that you expedite this to ensure there are no delays in collecting your result(s).

Bill Howarth
ICA Executive President
1. Part One – Assessment Overview

1.1 Key Contacts at ICA

Assessment team icaassessments@int-comp.org Phone number: +44 (0) 121 362 7657

Membership team membership@int-comp.org Phone number: +44 (0) 121 362 7747

1.2 Assessment method

The assessment method for a qualification is dependent upon the level, format and sometimes jurisdiction of the programme studied:

- Diploma\(^1\) programmes are assessed through submission of two assignments and completion of an examination at the end of the course (unless undertaking the examination-only route in which case 100% of the marks for the assessment are awarded via the examination)
- Advanced Certificate\(^2\) programmes are assessed through two ways: submission of one assignment and the completion of one examination, or completion of a more comprehensive examination at the end of the course
- Certificate level programmes are assessed by way of a multiple-choice-question test paper.
- Professional Postgraduate Diploma candidates through the submission of eight masterclass write-ups (40%) and attendance at a 2-3 hour oral interview (60%).

Candidates in Singapore studying towards the ICA Diploma level qualifications (Anti-Money Laundering/Governance, Risk and Compliance), which are accredited by the IBF, will be assessed at the end of each module as follows:

<table>
<thead>
<tr>
<th>Module One</th>
<th>Examination</th>
</tr>
</thead>
<tbody>
<tr>
<td>Module Two</td>
<td>Assignment</td>
</tr>
<tr>
<td>Module Three</td>
<td>Examination</td>
</tr>
<tr>
<td>Module Four</td>
<td>Examination</td>
</tr>
<tr>
<td>Module Five</td>
<td>Presentation &amp; Assignment</td>
</tr>
</tbody>
</table>

Candidates in Singapore studying towards the ICA’s Advanced Certificate Governance, Risk & Compliance qualification, which is accredited by the IBF, will be assessed as follows:

- one 3 hour and 15 minutes open book examination
- one 2,000-2,500 word assignment

\(^1\) This also applies to the Advanced Certification awards in Malaysia jointly awarded by AICB together with the ICA.
\(^2\) This also applies to the Certification awards in Malaysia jointly awarded by AICB together with the ICA.
The different methods of assessment are designed to offer candidates the broadest possible opportunity to demonstrate their understanding of the topics studied at whichever level they are studying.

Where appropriate your assignment questions are available to download from your ICT or ICTA Learning Platform.

Section 2 of this document provides guidance on completing and submitting assignments and Section 3 covers preparing for and completing examinations.

1.3 The Marking process

Marks are awarded following benchmarks from the University of Manchester Alliance Manchester Business School (AMBS), with Diploma programmes meeting the requirements for a level 6 qualification and Advanced Certificate programmes meeting the requirements for a level 4 qualification.  

All assessments are marked anonymously by experienced markers and moderated by the Chief Examiner designated for that programme. This ensures that there is continuity, accuracy and no systematic biases.

Final assessment grades are awarded by the ICA Assessment Board.

1.4 Results

1.4.1 Assignment results

ICA operates a seven week marking timeframe for assignments results. These are usually available by the Friday of the seventh week. 

When your result is ready you will receive an email informing you that your mark and feedback is available to view from the ICA website.

Results are not released over the phone.

1.4.2. Examination and final awarding results

ICA operates a ten week marking timeframe for examinations and final awards. Results are normally released on the Friday of the tenth week once the results have been signed off by the Assessment Board. You will be able to collect your examination mark and overall final award from the ICA website and you will be notified by email that the results are ready.

Results are not released over the phone.

---

3 Levels of qualification relate to common standards specified by the UK Framework for Higher Education Qualifications (FHEQ)  
4 Where candidates are resitting an assignment after having passed their examination, the result of the resit will not be released until the new overall mark and grade have been reviewed at an Assessment Board. This may mean a longer wait for your assignment result.
1.4.3 Feedback

For assignments ICA will provide a generic report which provides an overall summary of some of the key points and issues that candidates could have included in their assignment. You will also receive individual feedback that you should read in conjunction with the generic feedback.

For ICA examinations, there is no feedback to candidates other than where the student has failed and a ‘fail report’ is drafted and forwarded to the candidate.

1.4.4 Certificates

Certificates along with formal notification of your final award classification will be posted to you. Certificates for UK, Singapore, Bahamas, Russia, Sri Lanka, Malaysia and Middle East candidates will be available to collect at the annual award ceremony, or shortly after if you are unable to attend. All others will be posted in a timely manner after final awards are available.

1.5 Grading

<table>
<thead>
<tr>
<th>Diploma/Advanced Certificate/</th>
<th>Level of Achievement</th>
</tr>
</thead>
<tbody>
<tr>
<td>70+</td>
<td>Distinction</td>
</tr>
<tr>
<td>60 - 69</td>
<td>Merit</td>
</tr>
<tr>
<td>50 - 59</td>
<td>Pass</td>
</tr>
<tr>
<td>40 - 49</td>
<td>Marginal Fail</td>
</tr>
<tr>
<td>39 or below</td>
<td>Fail</td>
</tr>
</tbody>
</table>

1.6 Pass marks

The minimum pass mark for each individual piece of assessment at Advanced Certificate and Diploma levels is 40%. Any student who doesn’t achieve this mark in an assignment or examination has failed that element and must resubmit an assignment or retake the examination (even if overall they have achieved a mark of 50% or more).

The overall pass mark for the whole course is 50%
For example:

### Advanced Certificate/Certification

**Example 1**
- Assignment - 37%
- Examination - 63%

Overall 50% = FAIL

**Example 2**
- Assignment 1 - 45%
- Examination - 55%

Overall 50% = PASS

Candidate needs to re-submit a new assignment. The resubmitted mark will be capped at the minimum pass mark.

### Diploma/Advanced Certification

**Example 1**
- Assignment 1 - 37%
- Assignment 2 - 50%
- Examination - 58%

Overall 51% = FAIL

**Example 2**
- Assignment 1 - 45%
- Assignment 2 - 55%
- Examination - 52%

Overall 51% = PASS

Candidate needs to re-submit a new assignment 1. The resubmitted mark will be capped at the minimum pass mark.

### 1.7 Re-submitting assignments and retaking examinations

As mentioned in Section 1.5, the compensatable pass mark for each assessment element is 40%\(^5\). If you fail to achieve this mark in any assessment element (examination or assignment) you will need to retake that element.

You will be notified if you are entitled to resit or resubmit when you receive your final results following the Assessment Board meeting. The notes accompanying your final result will detail the elements that you need to retake and the date for the next resit or resubmission.

---

\(^5\) In Singapore, in order to be eligible for the IBF qualification, a minimum mark of 50 has to be achieved in all of the assessment elements.
If you have failed an assignment this will be communicated to you during the
course of your studies and following the final Assessment Board you will be
notified when your re-submission will take place.

1.7.1 Resit fees

Students will be charged the following additional fees (plus VAT where applicable)
for resits:

Assignments
- GBP 50 per assignment

Examinations:
- GBP 100 for Diploma
- GBP 75 for Advanced Certificate

1.7.2 Overall failure

In order to pass the qualification, your overall mark must be more than 50%. It may
be that you have achieved more than 40% in each assessed element but failed
overall to achieve 50%. In these instances the Assessment Board will agree which
element(s) you need to retake to give you the best opportunity of passing overall
and this will be communicated to you. The Assessment Board’s decision is final in
this regard.

1.7.3 Number of resits

You are entitled to one resit/resubmission of each assessment per programme of
study. In exceptional circumstances the Assessment Board may grant a second
resit/resubmission, these are usually limited to those with proven mitigating
circumstances and rarely permitted.

1.7.4 Resit and resubmission results

Marks for resits and resubmissions are capped. This means that if you are
successful in your resit or resubmission you will only be awarded the lowest mark
available in order to pass overall.

1.7.5 Not entitled to resit or resubmit

If in the opinion of the Assessment Board you have exhausted all opportunities to
pass the award, you may be offered a lower award, subject to having achieved
minimum pass level marks in each element, i.e. between 40%-50% achieved in the
assignment(s) and examination but not enough to pass overall. If you have failed
to meet the criteria for a lower award you can request a Certificate of Attendance
from your training provider.
1.8 Mitigating circumstances

1.8.1 What is mitigation?

Sometimes circumstances or events beyond your control may adversely affect your ability to perform in an assessment to your full potential or to complete an assignment by the stated deadline. In such cases mitigation may be applied, i.e. treating marks or results in a way that acknowledges the adverse impact that may have resulted from those circumstances or events, or waiving penalties that would arise from late submission.

Mitigation will not result in the changing of any marks, unless penalties for late submission are waived after an assignment has already been marked. Instead, mitigation may result in some marks being disregarded and the assessment being excused because the outcome was adversely affected. Mitigation may also mean treating your overall performance as borderline even though the marks you obtained overall would not normally be high enough, and so considering you for a more favourable result.

1.8.2 Approaching ICA

ICA will consider granting an extension for self-certified illness within two weeks before a submission deadline.

You should email ICA (icaassessments@int-comp.org) as soon as possible if you consider that some serious illness or misfortune has adversely affected your ability to complete one or more assignments even within the extended deadline, or if you believe that the results you might obtain from one or more assessments will be adversely affected.

Requests for mitigation submitted two weeks before an assessment period (except as a result of circumstances that have arisen during the course of that assessment period) will not be considered without a credible and compelling explanation as to why the circumstances were not known or could not have been shown beforehand.

You should first seek advice from ICA as to whether the adverse circumstances are sufficient to warrant consideration and to seek advice as to whether it is in your interest to consider alternative remedies such as a deadline extension, rescheduling of an assessment within a current assessment period, or sitting an examination at the next available opportunity. In very serious cases, you might even be best advised to interrupt your studies for a period.

1.8.3 Nature of mitigating circumstances

It is important to remember that, in order to qualify for consideration, the adverse circumstances or events must be unforeseeable or unpreventable as far as you are concerned, and sufficiently disruptive to have a significant adverse effect on your academic performance or your ability to complete assignments by the due date.
Circumstances or events that merit consideration may include: suffering a serious illness or injury; the death or critical/significant illness of a close family member/dependent; a significant family crisis leading to acute stress; and unplanned absence arising from such things as jury service or maternity, paternity or adoption leave.

Circumstances or events that would not normally merit consideration include: holidays or other events that were planned or could reasonably have been expected; assessments that are scheduled close together or on the same day; misreading the timetable for examinations or otherwise misunderstanding the requirements for assessment; inadequate planning or time management; failure, loss or theft of a computer or other equipment, including inability to print off work for whatever reason; consequences of paid employment; exam stress or panic attacks not diagnosed as illness; and minor disruption in an examination room during the course of an assessment.

1.8.4 Claiming mitigation

If ICA’s office confirms that your circumstances merit consideration, you should complete the Mitigating Circumstances form (see Appendix A). This should be emailed to ICA (icaassessments@int-comp.org), observing the two-week deadline for the submission of mitigating circumstances, together with independent third-party supporting or corroborative documentation. The nature of such documentation will vary according to the nature of the circumstances, but it must be sufficiently independent to confirm the veracity of the case you are making (e.g. a letter or medical certificate signed by a medical practitioner, a document from an outside agency, etc.)

You must submit the form as soon as possible and always before the beginning of an examination period (except for circumstances arising during the course of that assessment period, in which case the application must be made in time for consideration before the relevant meeting of the Assessment Board). Late requests for mitigation will not be considered without a credible and compelling explanation as to why the application was not made at the appropriate time.

Requests made after the publication of results will be treated as appeals under ICA regulation but again there should be a credible and compelling explanation as to why you did not bring the circumstances to the attention of ICA at an earlier stage.

ICA will need to agree that your circumstances were unforeseeable and unpreventable and that the effect on your academic performance would have been significant. If so, it will advise the Assessment Board how serious it judges the effect was, and the Board will then decide how to apply mitigation, on the evidence available on your performance (assignment marks and examination marks either for individual course units or for the assessment period as a whole, as appropriate). Mitigation will depend on how serious the adverse circumstances were and how far you are from any borderline on the basis of the existing mark, or profile of marks; the further you are from a borderline, the more serious the adverse circumstances need to be to change the Board’s overall decision.

**Completed Mitigating Circumstances forms should be emailed to ICA at icaassessments@int-comp.org**
1.8.5 Deferring assessment

If you have exceptional circumstances that prevent you from meeting an assessment (e.g. assignment deadline/attending an examination) you may be entitled to a deferral of assessment.

A deferral of assessment is the postponement of the date you are due to submit an assessment or sit an examination until the next opportunity and without penalty.

Approved requests will incur an administrative fee of £100.

Deferrals of examinations approved within 14 days of the date of the examination will incur an additional £150 charge that covers the cost of the examination venue and invigilation.

1.9 ICA policy on alternative assessments

Various categories of students may experience difficulties with ICA’s normal assessment procedures through circumstances beyond their control. In order to overcome these difficulties, the normal place, time or form of assessment or re-assessment may need to be changed. Such changes yield an alternative assessment.

Disabled students will be treated according to the separate Guidance on Assessment for Students with Disabilities (see below). Individual students who experience unforeseen difficulties will normally be treated according to the separate Policy and Procedures on Mitigating Circumstances, which include provision for alternative assessments.

Alternative forms of assessment must assess the same intended learning outcomes as the normal ones and be of the same standard. They must be approved through the normal examination procedures of the ICA that provides them.

Alternative assessments will be conducted under conditions that are as far as possible equivalent to those of normal assessments, including appropriate supervision.

1.9.1 Students with disabilities

The ICA has responsibilities under the Disabilities Legislation (UK) to make reasonable adjustments to its provision, including methods of assessment, to ensure that students with disabilities are not disadvantaged for reasons relating to their disability.

Adjustments to assessment for a student with a disability may take one of two general forms:

a. modifying the circumstances under which the existing assessment is taken
b. providing an alternative form of assessment.
Most adjustments will consist of modifying the circumstances under which the existing assessment is taken. For formal examinations, the ICA can make arrangements that provide appropriate adjustments. For example, this might be additional time or rest breaks.

In a very small number of cases the effects of the student's disability are such that an alternative form of assessment is required.

Devising an alternative assessment is an academic matter which must assess the same intended learning outcomes as the standard assessment and meet the same academic standards, whilst giving students the opportunity to demonstrate their academic achievement despite their disability.

Once appropriate adjustments have been made the work should normally be marked in the same way as any other work.

When appropriate adjustments have been made, the marks should be treated in the same way as those of other students; no further compensation should be made unless there is additional documented mitigating evidence.

1.9.2 E-Assessment of students with disabilities

The alternative assessment policy should be applied when online assessment is considered inappropriate for a particular student’s needs.

However, many online assessment methods can support the specific needs of some disabled students.

1.10 Appeals

The ICA welcomes feedback about the assessment process. If you wish to submit feedback you may do so by telephone, email or fax.

If you wish to formally appeal you may do so in respect of the decisions of the Assessment Board and/or the feedback given on assessed work 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 there 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.

Should you wish to make an appeal it is important that you read the full ICA Appeal guidelines (www.int-comp.org/qualifications/assessment-guidelines)
2. Part Two – Assignments

2.1 Assignments

2.1.1 Format/setting out your assignment

We recommend:

- a cover page that includes your ID number, submission date and the course title (do not include your name see Section 2.1.9)
- a contents page – optional, but gives a professional finish to your assignment
- font size 11 or 12 in a clear typeface such as Calibri, Arial, Times New Roman
- leave 1.5 – 2 line spacing
- use sub-headings to clearly identify what you are discussing
- bibliography or references page, depending on which method of referencing you are using

Please collate your assignment as a single document

Save the assignment as your user ID number, e.g. CON-00002233.

2.1.2 Word count

The word count allocation for your assignment is included in the assignment question. Candidates are advised to review the penalties imposed should you exceed the word count.

Penalties will be applied for excessive word count as follows:

<table>
<thead>
<tr>
<th>Penalty to be applied (deduction)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - 10% over the specified word limit</td>
</tr>
<tr>
<td>11% - 25% over the specified word limit</td>
</tr>
<tr>
<td>26% - 50% over the specified word limit</td>
</tr>
<tr>
<td>In excess of 50% over the specified word limit</td>
</tr>
</tbody>
</table>

The word count allowance includes all footnotes, in-text references and appendices but excludes any bibliography, reference or contents page(s).

N.B Appendices should only be used in exceptional circumstances and should consist of only brief extracts or tables. See Section 2.4 for more guidance on the use of Appendices.
2.1.3 How to submit

You submit your assignment via the Learning Platform.

In order to submit your assignment you need to click on My Courses and select the course title from the drop down menu and scroll down to the assignment section.

Click on the assignment title/due date; this will take you through to the submission page where you will need to accept the Turnitin User Agreement.

Click on ‘Submit Paper’ (cloud icon next to it) to open the Submit Paper page.

You will need to enter your username (ID Number) for the submission title and upload your assignment either via the Add icon or drag and drop to add the file. Please submit one document only

Tick the box for the declaration and click add submission.

Please note that the maximum file size is 5MB and any assignments over and above this limit will not load.

2.1.4 Turnitin

All assignments are screened using Turnitin detection software that checks for passages found elsewhere on the internet, in books and journals or in work previously submitted. You must ensure that all your work is properly referenced.

The ICA regards plagiarism and other forms of academic malpractice, such as collusion and fabrication or falsification of results, as serious academic offences and candidates risk being given a mark of zero for assignments where this occurs.

For more guidance see Section 2.4 on Referencing and Citation and Section 4.1.2 on Plagiarism.

2.1.5 Problems submitting

In the unlikely event that IT issues prevent you from submitting online, please email the ICA Assessment Team (icaassessments@int-comp.org). Students from Singapore should email studentadmin@int-comp.org. If the problem occurs out of office hours, please email your assignment to the above address(s).

2.1.6 Non-submission

Non-submission of an assignment or piece of coursework without due cause will result in a mark of zero for that paper/piece of work.

You may be offered one opportunity to re-submit a different piece of work at a different time; however the maximum mark you can receive for this will be the minimum pass mark required.

Please see section 1.7.1 for the fee for resubmitting assignments.
2.1.7 Late submission

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

Penalties will be applied for late submission as follows:

<table>
<thead>
<tr>
<th>Assignment received between 1 to 7 days after the due date</th>
<th>Penalty to be applied (deduction)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5 marks</td>
</tr>
</tbody>
</table>

| Assignment received between 8 to 14 days after the due date | 5 marks plus additional penalties of 2 marks per day up to 15 days (max. 21 mark penalty) |

| Assignment received 15 or more days after the due date | The work will not be marked and a mark of zero will be recorded |

2.1.8 Mitigating circumstances

Extensions may be granted for candidates who are unable to submit their assignment on time and have approved mitigating circumstances as to why they cannot submit on time.

For more information, please refer to Section 2.2

2.1.9 Anonymous marking

All marking is anonymous, which means your name should not appear on your work. Rather, you must enter your username/ID number on the cover sheet and at the top of each page of your assignment/coursework. If you do display your name, you risk being known to the examiner and compromising the integrity of the marking process.

2.1.10 Support

ICT have recorded a selection of pre-recorded webinars relevant to students who need to complete assignments. The webinars and ‘How to Guides’ can be accessed within the student support area of the ICT website.

2.2 Assignment extensions

If you do find yourself in an unavoidable situation where you cannot submit your assignment on time you may be granted an extension.

If you require an extension, you must submit this before the submission date. Extension requests received on the due date itself will be automatically refused and a penalty applied for any late submission.
2.2.1 Circumstances or events that merit consideration

Circumstances or events that merit consideration for an extension may include:

- suffering a serious illness, injury or disability supported by a Doctor’s certificate
- the death, critical/significant illness of a close family member/dependent
- a significant family crisis leading to acute stress
- unplanned absence arising from such things as jury service or maternity, paternity or adoption leave.
- extremely unexpected emergency travel connected with employment (employer’s confirmation would be required),
- regulatory spot check visit (i.e. not pre-notified or planned)-employer confirmation required

If any of these circumstances apply then you may be offered a two week extension.

2.2.2 Circumstances or events that would not merit consideration

Circumstances or events that would not normally merit consideration for an extension include:

- holidays or other events that were planned or could reasonably have been expected
- assessments that are scheduled close together or on the same day
- misreading or misunderstanding the requirements for assessment
- inadequate planning or time management;
- failure loss or theft of a computer or other equipment, including inability to print off work for whatever reason
- consequences of paid employment
- stress or panic attacks not diagnosed as illness
- minor disruption in an examination room during the course of an assessment.

If you have already received a previous extension for this course then your request will be automatically refused.

If no extenuating circumstances exist you should submit on the due date or accept the penalty for a late submission.

Details of the penalties for late submission are given in section 2.1.7

Any extensions granted are for a fixed period of two weeks and your results may be delayed.
2.3 Appendices

Many candidates are unsure what they can and can’t include in appendices. It’s important to remember that appendices are a collection of supplementary material designed to support your assignment and shouldn’t be confused with the key requirements of the question.

2.3.1 The use of appendices

Here are a few guidance tips on use of appendices.

- The body of the text must be complete without the appendices, and the body of the text must contain all information including tables, diagrams and results necessary to answer the question or support the argument.
- Appendices are used when:
  - substantive material cannot be adequately summarised or referred to in the body of the text, and
  - the incorporation of this material in the body of the text would make it poorly structured or too long and detailed.
- Appendices may be used for helpful, supporting or ancillary material that would otherwise clutter, break up or be distracting to the text.
- Other people’s work in the appendix should be referred to (e.g. see Appendix 3), rather than quoting sections from the appendix.
- Appendices must be referred to in the body of the text; for example, ‘details of the questionnaire are given in Appendix B (on page 23)’.

2.3.2 What to include in appendices

Appendices may include, but not exclusively, some of the following:

- supporting evidence (e.g. raw data that is referred to in the text)
- contributory facts, specialised data (raw data appear in the appendix, but summarised data appear in the body of the text.)
- sample calculations (referred to in the text)
- technical figures, graphs, tables, statistics (referred to in the text)
- detailed description of research instruments (referred to in the text)
- maps, charts, photographs, drawings (referred to in the text)
- letters, copies of emails (referred to in the text)
- questionnaires/surveys (questionnaire/survey results appear in the body of the text)
- transcripts of interviews (summarised in the text)
- specification or data sheets (summarised in the text).

2.4 Referencing and citation

2.4.1 Citation

When in your assignment you wish to cite from a source, such as a book or a website, you will have to consider how to include the source material within your text. There are two main cases to consider.
• direct quotation where you repeat material from your source word for word, and
• indirect quotation where you refer to a concept or paraphrase an idea.

Direct quotes

Direct quotations are usually enclosed in inverted commas within the main body of the text.

Example

It is the view of Graham, Bell and Elliott (2003) that ‘the financial system has become the lifeblood of crime.’

Indirect quotes

Indirect quotes do not need to be in inverted commas

Example

Muller (2007), implicitly ties the introduction of US legislation brought in as a response to the terrorist event on 11 September 2001, with the arrival of a determination to clean up the financial world and with the formalisation of financial services information exchanges with national and international institutions (particularly FIUs). It would appear that terrorism, not money laundering itself, has been the prompt for extensive international action against criminal activities that use the financial services sector to clean its ill-gotten gains

2.4.2 Methods of reference

It is an important skill that ICA candidates are able to reference. ICA accepts either footnote or Harvard style referencing.

Harvard is what is known as an author-date system, where references are noted in the main body of the text of an essay by including the author’s name and the year of publication in brackets.

Example

Wouter H. Muller (2007) provides a brief history of anti-money laundering and suggests that ‘the new millennium has become the time to really clean up the financial world’. Muller indicates the important role that the financial services sector has to play in regard to combating money laundering and that ‘financial institutions are the source of information with regard to unusual or suspicious financial transactions’.

Footnotes are notes (or a reference to a source of information) which appear at the foot (bottom) of a page. In a footnote referencing system, you indicate a reference by
• putting a small number above the line of type directly following the source material (this number is called a note identifier. It sits slightly above the line of text).
• putting the same number, followed by a citation of your source, at the bottom of the page (footnoting should be numerical and chronological: the first reference is 1, the second is 2, and so on).

Example

‘...financial institutions are the source of information with regard to unusual or suspicious financial transactions’.


2.4.3 Reference list

Everything you have cited in the text of your work, for example journal articles, Web pages, podcasts, etc., should be listed in alphabetical order at the end of the assignment. This is the reference list. Each reference should include everything you need to identify the item. You need to identify the source type (e.g. book, journal article) and use the correct referencing format from this guide to create the reference. If you include items that are not specifically cited but are relevant to the text or of potential interest to the reader, then that is a bibliography.

Example


2.4.4 Bibliographies

A bibliography lists all of the research that you have undertaken for an assignment; this includes books and articles that you have not directly referenced but are part of the background reading that you have carried out. In a bibliography documents are listed alphabetically on the basis of the authors.
2.4.4 Word count

The word count for your assignment will include all footnotes and in-text references but excludes any bibliography or reference page(s). See Section 2.1.2 for more guidance.
3. Part Three – Examinations

3.1 Introduction

The purpose of the examination is to assess your ability to utilise your knowledge and understanding of the topics covered throughout the course in response to the questions set within a specified timeframe.

The examination tests your ability to identify relevant issues, explain principles and apply detailed knowledge gained from your studies to any given factual situation.

Credit will be given for well-reasoned analysis of issues and principles even if a conclusion is incorrect. All papers will span topics covered across the syllabus.

Where appropriate, you should cite legislation, case authorities and practices to support your answers.

3.2 Public examinations

3.2.1 Open-book examinations

All ICA public examinations are open-book. This means you are able to take in your course materials, revision notes, past papers etc. These can be marked up, labelled, highlighted in any way you wish. However do not use this option as a substitute for lack of revision. The idea behind the open-book format is so you don’t have to spend time learning and regurgitating legislative names and dates.

You will also need to bear in mind the time constraints of the examination that don’t allow for substantial review of materials, and the size of the desk which may not be able to accommodate vast piles of materials. To this end, we recommend only taking in revision notes.

Finally, a word of caution. Candidates found to be copying directly from the course materials or any other materials will be penalised and are likely to fail the examination.

3.2.2 Advanced Certificate

The ICA Advanced Certificate public examination is 1 hour and 45 minutes long. This includes 15 minutes reading time, during which you are not allowed to write in the answer book. However, you should use this time to select your question options and start planning your answer writing only on the question paper. The examination papers comprise of Section A: one compulsory question worth 40 marks and Section B: four questions of which you must answer two. Each question in Section B is worth 30 marks.
3.2.3 Advanced Certificate in Practical Customer Due Diligence (CDD)

The course is assessed by a 3 hour examination (including reading time) which comprises two separate papers.

Paper one is a multiple choice question (MCQ) examination worth 40 marks - candidates need to answer all 10 MCQs in Section A and all 15 MCQs in Section B. Each question in Section A is worth 1 mark, each question in Section B is worth 2 marks.

Paper two contains written response questions (including a section where you will be provided with a set of CDD documentation and asked to assess the information/respond to questions based upon them.). The paper is worth 60 marks - candidates complete two questions: One question from Section C and one question from Section D. Each question in section C is worth 40 marks and each question in section D is worth 20 marks.

3.2.4 Singapore Advanced Certificate in GRC

The ICA Advanced Certificate examination is 3 hours and 15 minutes long, this includes 15 minutes reading time during which time you are not allowed to write in the answer book. The examination comprises of 25 short-answer questions that address the specifics of distinct competency units. Each question is worth 4 marks.

3.2.5 Diploma

All ICA Diploma public examinations are 3 hours and 15 minutes long. The first 15 minutes is for reading only, during which you are not allowed to write in the answer book. However, you should use this time to select your question options and start planning your answer writing only on the question paper.

Examination papers are divided in to Part A and Part B. Part A consists of four questions that are presented in an essay style format. Part B consists of three questions that are presented in a case studies/problem solving/analysis format. Candidates must answer 4 questions in total with at least 1 question from each section.

3.3 In-house Examinations

3.3.1 Advanced Certificate Format

The ICA in-house Advanced Certificate examination is 2 hours and 20 minutes long. The paper is divided into a Section A that comprises of 20 MCQ style questions (worth 1 mark each), a compulsory 40 mark question in Section B and 4 questions in Section C, each worth 20 marks of which you must answer 2.

6 Papers for the ICA Diploma in Singapore consist of 2 questions - candidates must answer both questions.
You will be given 50 minutes to complete Section A and 1 hour 30 minutes to complete Section’s B and C.

### 3.3.2 Open-book/closed-book examinations

The Section A part of this examination is closed book. You will be instructed by the invigilator to store any materials under your desk for the duration of this paper. Thereafter the examination becomes open book. This means you are able to take in your course materials, revision notes, past papers etc. These can be marked up, labelled, highlighted in any way you wish. However do not use this option as a substitute for lack of revision.

You will also need to bear in mind the time constraints of the examination that don’t allow for substantial review of materials, and the size of the desk which may not be able to accommodate vast piles of materials. To this end, we recommend only taking in revision notes.

Finally, a word of caution. Candidates found to be copying directly from the course materials or any other materials will be penalised and likely to fail the examination.

### 3.4 Non-attendance at an examination

Non-attendance at an examination without due cause will result in a mark of zero for that paper.

You may be offered one opportunity to re-sit the examination at a different time; however the maximum mark you can receive for this will be the minimum pass mark required.

Please see section 1.7.1 for the fee for resitting examinations. In addition to the resit fee you will incur an additional £150 charge that covers the cost of the examination venue and invigilation.

### 3.5 ICA Examination – Frequently Asked Questions

**How do I find out when my examination will take place?**

The initial booking confirmation you receive from ICT upon enrolment will contain information about the date of your examination. You will receive another email from ICT in the lead up to the examination to confirm the date, time and venue for the examination. Check your email from ICT carefully and ensure you know the location of the examination venue.

Misreading the timetable is not a satisfactory explanation if you are absent from an examination or arrive to it late.
If I have a condition or disability that affects my assessment, who should I contact?

If you wish to discuss any individual examination adjustments required, due to a disability or ongoing medical condition, you should contact the ICA Assessment Team before the exam deadline for advice.

What if my examination is timetabled during a religious festival?

ICA respects the rights and religious views of its students. We will make every attempt to schedule your examination avoiding any holy days, however this may not always be possible. Please email us with any individual circumstances prior to the deadlines published.

What time do the examinations start?

Generally, most ICA examinations will start at 09:30 or 14:00. Students are usually called into the room by the Invigilators 10-15 minutes before the examination start time (depending on the size of the venue) so make sure you leave enough time to get to the venue. Students are called in ahead of the published start time so you can be seated and be in place to hear all the announcements relating to the examination before you start.

It is important to arrive early as you may miss some important information if you arrive after the examination has started.

What happens if I am late for my examination?

We suggest you plan enough time to get to the examination venue and allow for traffic and travel problems.

Students can still enter the examination venue up to 30 minutes after the examination has started, however you will not receive the missed time back, the time will be lost.

If you arrive more than 30 minutes after an examination has started you will not be allowed to take the examination. You should let ICA know by informing the Assessment Team by email at icaassessments@int-comp.org

What should I wear for the examination?

Examinations take place at various times throughout the year, and room temperatures vary from venue to venue so the best thing to do to make sure you are not too hot or too cold is to wear layers.

Even in the summer months it might be very warm outside but the air conditioning in some buildings will make the room a lot cooler so make sure you are going to be comfortable.
What should I do on the day of the examination?

Double check the start time and the venue on your timetable the day before your examination. Ensure you arrive at the examination venue at least 20 minutes before the examination starts. The Invigilators will call you into the room 10 - 15 minutes before the examination starts. You do not want to be late and then miss out on an important piece of information or regulation that may affect your performance.

This might seem very obvious, but go to the toilet before your examination starts so that you do not lose time during the examination – you will not be given additional time to make up for toilet breaks.

What can I take in the examination?

On the day of the examination, you may take with you the following items into the examination room:

- a dictionary
- a small bottle of water
- any notes, course materials and texts.

Candidates taking the IBF accredited programmes in Singapore may take electronically stored materials into the examination room with them; with the storage device switched to aeroplane mode or with Wi-Fi otherwise disabled.

What should I NOT bring to an examination?

You must not bring the following to an examination:

- any drinks other than a small bottle of water
- any food (unless ICA are aware of any specific medical condition)
- any pencil case unless it is clear
- earphones or headphones
- electronic devices of any kind including mobile phones, smart watches, tablets etc.

Candidates (other than those taking the IBF accredited programmes in Singapore) are not permitted to take into the examination room any devices or means of accessing the Internet. Anyone found to have such a device on them may be penalised.

What should I do with my mobile phone?

The use of mobile phones in the examination or during any toilet break is strictly prohibited. If they are brought to the examination venue they must be fully switched off (not left on silent). If you are found to have used a mobile phone during the examination, this will be reported to the ICA.
What identification will I need to provide?

Candidates on a public programme must produce photo ID when registering at the examination venue.

The usual forms of acceptable ID are driver’s licence or passport. If neither of these are available then something else with a photograph and full name will be accepted such as a work ID card. If you don’t have any of these forms of ID then please contact ICT a few days prior to your examination.

Please note that if you are registered on our records under a shortened version of your name you will need to contact us prior to the examination to update this. This will ensure that the register matches your identification and also, more importantly, ensures that your certificate, when issued, displays the correct name.

What if I wear a veil or other religious head coverings?

An Invigilator will need to perform an identification check before the examination commences. You will not be required to uncover your face or hair in public.

Only if a candidate is suspected of using headphones or other electronic hearing device to gain an unfair advantage during an examination, can they be asked to remove their headwear so a check can be performed.

What happens when I enter the examination room?

Candidates will not be allowed to enter the examination room until the invigilators give their permission.

At the start of the examination, the invigilator will require candidates to complete the front sheet of the examination answer book on which the candidates must put their candidate ID number, course title, examination date, seat number (if applicable), jurisdiction and industry sector.

What should I expect when entering an examination venue?

You should wait outside the venue until the Invigilators call you into the room.

As soon as you enter the examination room you are under examination conditions. This means you are not allowed to talk to other candidates. On entering the venue, Invigilators will indicate where to leave any personal belongings, including coats, hats and bags. Please take out of your bag the items you need for your examination.

Please complete the attendance register and provide your photo ID at the same time.

You should sit quietly at your desk until the Invigilators make their announcements. It is important to listen carefully to everything the Invigilator tells you. Some rules are a standard script which you will hear at every examination, but please still listen even if you have heard it before. These rules may be supplemented by instructions.
that are specific to the examination you are doing and may affect your performance if you do not abide by them.

You can complete the front of your answer books but do not write inside until the examination has started. You need to complete the name of the course you are studying, and the examination date and time. Please remember to provide your candidate ID number.

Are there rules regarding behaviour in the examination room?

You should refrain from any behaviour that might disturb or cause offence to other candidates during the examination.

During the period of the examination and the administration periods both before and after the examination, candidates may not pass information nor talk to other candidates.

During the examination, if a student causes a disturbance, the invigilator has the authority to warn the student about their behaviour and can ask the student to withdraw if he/she persists.

The invigilator shall make a written report of any unacceptable examination behaviour and ICA may take this into account in deciding the success or otherwise of the candidate concerned.

What is the role of the examination invigilator?

The invigilator’s authority is final during the examination period. If candidates wish to complain about an invigilator, they must do so in writing to the ICA so that the ICA can investigate.

What happens once the examination starts?

The Invigilator will tell you when you can start the examination. Make sure you read the instructions on the front page of the examination paper very carefully, as they may provide you with information in addition to any rules read out by the Invigilator. Failure to read any instructions may affect your performance if not followed.

Is reading time provided for examinations?

Candidates whose examination includes multiple choice questions (MCQs) will not be given any reading time, all other candidates will receive 15 minutes.

During this time you may make notes on the examination paper but not write in your script. This is a good opportunity to select and plan the questions you intend to answer.

What time calls will the invigilator provide?

Once the examination has commenced, the invigilator will give time calls for the assistance of candidates.
The call to stop writing means no further writing may be carried out whatsoever. Thus, candidates must ensure that all question numbers, candidate numbers, etc., are completed before the call.

**What are the rules about the presentation of answers to questions?**

Candidates should adhere to the following rules.

- Write in black or blue ink only.
- Write on one side of the paper only.
- Begin every question on a fresh page.
- Submit answer plans, as they will be taken into account by the examiner should you run out of time at the end.
- Do not remove any pages from your answer booklets.

**How does ICA deal with illegible handwriting in examinations?**

Any parts of an assessed piece of work (e.g. an examination script) which are agreed as illegible by first and subsequent markers will be marked at zero.

Students who suffer an unexpected medical or physical condition should provide the ICT Assessment Team with the documented evidence.

Students who may require additional time or support completing written assessments should make ICA aware of this on their application form.

**What arrangements can be put in place for students with ongoing special needs?**

Any students with additional needs who require support during their studies or assessment, including the possible allocation of additional time in examinations, should contact the ICT Assessment Team with the documented evidence. See Section 1.8 for ICA’s policy for alternative assessments.

**Where should I complete my rough work?**

All rough work and any question planning must be written in the answer book and then crossed through if you do not want it to be marked. You should not tear any pages out of your answer book or use any of your own paper.

**What if I need extra paper?**

Additional paper will only be supplied if you have used every page in the answer book already supplied. If you need extra paper, please raise your hand to attract the attention of the Invigilator. If you use extra paper, please ensure that your candidate number is written on the extra paper and that this is securely attached to your answer booklet.
How soon can I leave the examination room?

No-one is allowed to leave the examination room until 15 minutes has elapsed. No candidate is allowed to leave during the final 30 minutes of the examination.

If your examination finishes before other examinations in the venue, please leave quietly as other students will still be completing their examinations. Even when you have left the room, please keep your voices low as conversation carries in a quiet environment and may be disruptive to those still continuing.

What if I need to leave the room temporarily?

Once the examination is underway, if you wish to go to the toilet you must raise your hand and wait until you have the Invigilator’s attention. Only one person can go to the toilet at a time, so if several people are requesting to go to the toilet you will have to wait until it’s your turn. Any time spent out of the room will be lost.

If you need to leave the examination room because you are ill, any time spent out of the room will be lost but a report will be completed so the Assessment Board have this information.

What if I have a question during the examination?

You should raise your hand and attract the attention of the Invigilator.

What happens at the end of an examination?

Once the Invigilator has announced the end of the examination, you should stop writing immediately. It is considered misconduct if you keep writing after the Invigilator has asked you to stop and will be reported to the ICA.

Make a final check to ensure that your student ID number is on every answer booklet and any additional sheets you have used are securely fastened to your answer book.

The Invigilators will collect your completed answer booklet from your desk. Do not leave your seat or talk to anyone else until all booklets have been collected.

You cannot take the question paper with you. Only take with you what you brought into the examination room. The Invigilator will inform you when you can leave the examination venue.
4. Part Four – Academic malpractice

ICA regards plagiarism and other forms of academic malpractice, such as collusion and fabrication or falsification of results, as serious academic offences, and has issued guidelines. These guidelines have been produced to help clarify for you what will be considered as constituting the range of offences and to indicate the nature of the penalties that may be imposed where they occur.

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.

This guide should be read in conjunction with the ICA guide to handling academic malpractice (www.int-comp.org/qualifications/assessment-guidelines/#AcademicMalpractice)

4.1 Definitions of Academic Malpractice

4.1.1 Examinations

Malpractice in examinations includes the following:

- Communicating with or copying from any other student during an examination, except in so far as the rubric may specifically permit.
- Communicating during an examination with any person other than a properly authorised invigilator or another authorised member of staff.
- Introducing any written, printed or electronically stored information into an examination room, unless expressly permitted by the criteria/rubric for the examination.
- Gaining access to any unauthorised material relating to an examination during or before the specified time.
- 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.
- Fabricating information in an examination, e.g. use of artificial citations.
- Impersonating another student, or procuring an impersonator.

4.1.2 Plagiarism

Plagiarism, or academic malpractice, is presenting the ideas, work or words of other people without proper, clear and unambiguous acknowledgement. It also includes ‘self-plagiarism’ (which occurs where, for example, you submit work that you have presented for assessment on a previous occasion), and the submission of material from ‘essay banks’ (even if the authors of such material appear to be giving you permission to use it in this way). Obviously, the most blatant example of plagiarism would be to copy another candidate’s work. Hence, it is essential to make clear in your assignments the distinction between:

- the ideas and work of other people that you may have quite legitimately exploited and developed, and
the ideas or material that you have personally contributed.

To assist you, here are a few important do’s and don’ts:

- Do get lots of background information on subjects you are writing about to help you form your own view of the subject. The information could be from electronic journals, technical reports, unpublished dissertations, etc. Make a note of the source of every piece of information at the time you record it, even if it is just one sentence.
- Don’t construct a piece of work by cutting and pasting or copying material written by other people, or by you for any other purpose, into something you are submitting as your own work. Remember, we can’t mark other people’s work while marking yours. Sometimes you may need to quote someone else’s exact form of words in order to analyse or criticise them, in which case the quotation must be enclosed in quotation marks to show that it is a direct quote, and it must have the source properly acknowledged at that point. Any omissions from a quotation must be indicated by an ellipsis (…) and any additions for clarity must be enclosed in square brackets, e.g. ‘[These] results suggest... that the hypothesis is correct.’
- It may also be appropriate to reproduce a diagram from someone else’s work, but again the source must be explicitly and fully acknowledged in your assignment. Nonetheless, constructing large chunks of documents from a string of quotes, even if they are acknowledged, is another form of plagiarism.
- Do attribute all ideas to their original authors. Written ‘ideas’ are the product that authors produce. You would not appreciate it if other people passed off your ideas as their own, and that is what plagiarism rules are intended to prevent. A good rule of thumb is that each idea or statement that you write should be attributed to a source unless it is your personal idea or it is common knowledge. (If you are unsure if something is common knowledge, ask other candidates: if they don’t know what you are talking about, then it is not common knowledge!)

As you can see, it is most important that you understand what is expected of you when you prepare and produce assignments and that you always observe proper academic conventions for referencing and acknowledgement. This should ensure that you do not inadvertently lay yourself open to a charge of plagiarism through ignorance of what is expected.

It is also important to remember that you do not absolve yourself from a charge of plagiarism simply by including a reference to a source in a bibliography that you have included with your assignment; you should always be scrupulous about indicating precisely where and to what extent you have made use of such a source.

Plagiarism also includes a close paraphrase of someone else’s words, diagram, graph, illustration and so on taken from a variety of sources without proper acknowledgement. These could be workshop notes, printed material, the Internet or other electronic/AV sources.
4.1.3 Collusion

The ICA encourages the forming of study groups. We believe these have a positive effect on a candidate’s experience of studying for an ICA qualification. However, while you may wish to share ideas about a forthcoming assignment it is important that your assignment is your own work, written in your own style and using your own ideas. It is unacceptable to collude with another candidate or group of candidates claiming that the work you have submitted is entirely your own.

Collusion is when a candidate or candidates collaborate with another candidate or candidates, as an individual or group to gain a mark or grade to which they are not entitled. Candidates who allow another candidate to copy their work are also committing collusion and both the copier and the provider of the work are liable to be penalised.

When collusion occurs it is relatively straightforward to detect. It is clear that when two or more candidates submit work that is substantially the same, even if some attempts have been made to disguise this fact, an unacceptable level of collaboration has occurred that is considered evidence of collusion.

4.1.4 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.

4.1.5 Impersonation

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

4.1.6 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.
4.2 Consequences of non-compliance

At ICA, our focus is to support our members and students to be the best they can be. Ethical excellence is integral to this approach.

Candidates must understand that should a clear infringement of the ICA Code of Conduct or the principles it contains come to the attention of the association, it would be just cause to trigger a further investigation.

If the outcome of such an investigation confirmed that a candidate was in breach of the rules it would lead to a disciplinary hearing that gave the candidate the right to defend their actions.

A range of penalties could result including:

- mark deductions
- disqualification from the examination or assignment
- the loss of professional membership

All students are expected to uphold the highest levels of integrity and professionalism and are required to sign up to, and operate in accordance with, the ICA Code of Conduct.

The ICA Code of Conduct can be found at www.int-comp.org/ethics/.
Appendix A: Notification of Mitigating Circumstances

<table>
<thead>
<tr>
<th>STUDENT NAME</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>CANDIDATE ID NUMBER</td>
<td>CON-000</td>
</tr>
<tr>
<td>PROGRAMME OF STUDY</td>
<td></td>
</tr>
</tbody>
</table>

Please describe the nature of the circumstances or events that you believe have affected or are affecting your performance or ability to submit coursework by the due deadline:

…………………………………………………………………………………………………………
…………………………………………………………………………………………………………
…………………………………………………………………………………………………………
…………………………………………………………………………………………………………
…………………………………………………………………………………………………………
…………………………………………………………………………………………………………
…………………………………………………………………………………………………………
…………………………………………………………………………………………………………

Dates of periods affected: ………………………………………………………………………………………………………

1. Assignment(s) affected

<table>
<thead>
<tr>
<th>Course Title</th>
<th>Submission Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Have you submitted the affected assignment? YES/NO?
2. Examinations affected

<table>
<thead>
<tr>
<th>Course Title</th>
<th>Date of Exam</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Have you taken the examinations or other assessments? YES/NO

3. Nature of supporting documentation

It is essential that this documentation is attached. Please tick the relevant box.

☐ Letter from the practitioner  ☐ Police Report

☐ Letter from Counselling Service  ☐ Other (Please Specify)

…………………………………………………………………………..
…………………………………………………………………………..

I hereby confirm that all information given or referred to above is true and that I believe there has been a significant adverse effect on my performance as a result of the circumstances and/or events described.

SIGNATURE:

DATE:

For Office Use:

RECEIVED BY:

DATE OF RECEIPT:

THIS FORM SHOULD BE SUBMITTED TO ICA at icaassessments@int-comp.org