Malpractice and Maladministration Policy

1. Introduction

This policy is aimed at any personnel who are involved in the assessment of Rockschool qualifications in Australia and New Zealand.

The purpose of this policy is to set out the procedures that people should follow if they wish to contact us about any potential instances of malpractice. The policy also gives details of the service provided by the awarding body, RSL Awards UK.

This policy is available on our websites at rockschool.ameb.edu.au and rockschoolnz.co.nz or can be obtained by calling **03 8660 5800** or e-mailing office@ameb.edu.au.

This policy will be subject to review and monitoring by the awarding body and if necessary will be amended and updated following feedback from all parties involved. All future versions of this policy will be flagged and will be posted on our website.

Please note that we treat all correspondence with individuals who make complaints or inform us of suspected malpractice in confidence and will not make details available to any other parties.

2. Issue and review

This policy will be reviewed annually.

3. What is malpractice?

Malpractice is defined as any activity or practice which deliberately contravenes regulations and compromises the integrity of the assessment process and/or the validity of certificates. For the purpose of this policy this term also covers misconduct.

The categories listed below are examples of potential exam venue, examiner and/or candidate malpractice. Please note that this is not an exhaustive list.

- Denial of access to resources (premises, records, information, candidates and staff) by any authorised representative and/or the regulatory authorities
- Failure to adhere to our candidate registration and certification procedures
- Failure to maintain auditable records, e.g. certification claims

- Fraudulent claim for certificates
- Intentional withholding of information from us which is critical to maintaining the rigour of quality assurance
- Deliberate misuse of our logo
- Plagiarism of any nature by candidates
- Collusion of examiners with candidates
- Disclosure of confidential information by centres or examiners to candidates
- Breaches of confidentiality and security of assessment materials
- Submission of false information to gain a proxy or a qualification
- Disruptive behaviour by candidates
- Teacher prompted restarts
- Page turning for the candidate
- Singing along/whistling
- Providing a time reference (clicking fingers, clapping, nodding etc.)
- Facial communication
- Counting in a solo piece (which provides time reference)
- Counting in Tech Ex's with no fixed time reference (e.g., classical piano/violin)
- Teacher playing an instrument in the background (distinct from Live Accompaniment)
- Failure to adhere to the requirements of our *Reasonable Adjustments and Special Considerations Policy.*

The use of artificial intelligence (AI) is not encouraged, however should AI platforms or tools be used then this must be fully evidenced. Evidence must include the prompts used, a full indication of how the AI responses have been utilised and any use of AI must be fully referenced within the work.

4. What is maladministration?

Maladministration is defined as any activity or practice which results in non-compliance with regulations. Anybody identifying cases of maladministration should report them to the AMEB Federal Office.

We are obliged to investigate all cases of maladministration in liaison with the parties concerned. If an investigation results in evidence of maladministration, we will need to impose the appropriate sanction and take the necessary steps to ensure that the candidates' interests are protected as far as is reasonably possible. This may include making arrangements for re-assessment or certification, as appropriate.

5. How to notify us of suspected or actual cases of malpractice

Anybody who identifies or is made aware of suspected or actual cases of malpractice at any time must immediately report their findings to the AMEB Federal Office by post, telephone or e-mail.

Head of Examining
AMEB Ltd
27/150 Lonsdale Street
Melbourne 3000

E-mail: **online@ameb.edu.au**

Tel: **+61 3 86605800** or from New Zealand on **0800 180 922**

Please send the report and any accompanying evidence to the above address. Reports must include:

- Exam centre's name, address and number
- Candidate's name and registration number
- Title and number of the qualification affected
- Date(s) suspected or actual malpractice occurred
- Full nature of the suspected or actual malpractice
- Contents and outcome of any investigation carried out by the centre or anybody else involved in the case, including any mitigating circumstances
- Written statements from those involved in the case, e.g. witness statements
- Date of the report and the informant's name, position and signature.

If an exam centre conducts its own investigation before submitting its report to us, it should:

- Ensure that staff leading the investigation are independent of the staff/candidates/function being investigated
- Inform those who are suspected of malpractice that they are entitled to know the necessary details of the case and possible outcomes
- Submit the findings of your investigation to us with the report

6. Reviewing suspected or actual cases of malpractice

Your report will be acknowledged by the AMEB Federal Office within 5 days of receipt.

The report will be reviewed and a decision made as to whether to recommend further investigation. Should AMEB Ltd decide to conduct an investigation, we will appoint a team of personnel to investigate the case and produce a written report. We will endeavour to finish our investigations no later than 30 working days from the receipt of the allegation. Please note that in some cases the investigation may take longer; for example, if a centre visit is required. In such instances, we'll advise all parties concerned of the likely revised timescale.

We will advise all interested parties of the outcome of our investigation within 10 working days of making our decision.

The investigation process

We expect all parties, who are either directly or indirectly involved in the investigation, to fully co-operate with us. In instances where a centre, examiner or candidates do not co-operate, we may have no alternative but to permanently or temporarily remove the centre's approval status, suspend an examiner or withdraw its candidates from the programme.

During the investigation the review process may involve:

- A request for further information from the centre or personnel involved
- Interviews (face to face or by telephone) with personnel involved in the investigation
- Arranging for authorised personnel to carry out a centre visit

We are duty bound to inform the appropriate UK regulatory authorities of any investigation into suspected or actual cases of serious malpractice and will agree the appropriate course of remedial action with them. Please note that in exceptional cases, the regulatory authorities may lead the investigation.

In cases where certificates for qualifications approved by the regulatory authorities are deemed to be invalid, we will inform the centre and the candidate and the regulatory authorities of the reasons why they are invalid and provide details of action to be taken for reassessment and/or certification.

Either at notification of a suspected or actual case of malpractice or at any time during the investigation, we reserve the right to suspend any claims for candidate certification submitted by a centre involved.

The outcome of the investigation

We will consider all factors put forward by the parties involved in determining the appropriate outcomes.

7. Outcomes

If the investigation confirms that malpractice has taken place we will take appropriate and proportionate action. In the case of examiner malpractice, we will refer to contractual arrangements and terms of dismissal as part of our consideration of potential sanctions.

Candidate malpractice

In cases of malpractice by candidates, the candidates will be made aware that their final results may be void if the case is proven and any certificates which have already been issued may be deemed to be invalid and will need to be returned to us.

Examiner malpractice

If an examiner is reported to be colluding with candidates the evidence will be passed to the Head of Assessment, RSL Awards UK and will be closely monitored. If collusion is corroborated then the examiner will be dismissed from the examining panel and the candidates in question will be re-examined.

Reporting the outcome

After an investigation, we will produce a draft report for the parties involved to check for factual accuracy. Any subsequent amendments will be agreed between the parties involved and us.

We will make the final report available to the parties involved and to RSL Awards UK and other external agencies as required.

If an independent/third party notified us of the suspected or actual case of malpractice, we will inform them of the outcome.

8. Appeals against decision

If you wish to appeal against our decision, please refer to our Appeals Policy available from our website at rockschool.ameb.edu.au or rockschoolnz.co.nz.