



ICB

ACCREDITED BUSINESS
QUALIFICATIONS

ASSESSMENT INVIGILATION & IRREGULARITY POLICY

1. Role and Responsibility of an Invigilator
2. Procedure on day of Assessment
3. Late Arrivals
4. Items Permitted
5. Conduct during the Assessment
6. Conduct of the Invigilator
7. Irregularities
8. Procedure for Invigilators for suspected irregularities
9. Types of irregularities and actions
10. Academic Board
11. Procedure for Assessors and Moderators for suspected irregularities
12. Procedure for Irregularity Hearings
13. Acceptance

1. ROLE AND RESPONSIBILITIES OF AN INVIGILATOR

To ensure that the ICB assessments are conducted properly and run according to the ICB standards and as per the ICB Assessment policy. The following roles, functions and procedures are to be followed:

- 1.1. Assessments are to be conducted on the date and at the time specified by the ICB.
- 1.2. The invigilator must ensure that the venues are available for the holding of assessments and ensure:
 - 1.2.1. Not more than one learner occupies a table or desk
 - 1.2.2. Charts, including drawings, formulae and any other written material are removed from the walls or chalkboard
 - 1.2.3. Learners are seated at least one meter apart from each other
 - 1.2.4. There is sufficient ventilation and lighting
- 1.3. Ensure security of assessment question papers before date and time of assessment.
- 1.4. Ensure invigilation of assessments by persons independent of person facilitating learners.
- 1.5. Accept and understand that any deviation from the stated policies and procedures may result in the disqualification of learners from an assessment and the disqualification of a Provider's authority to act as an assessment venue.

2. PROCEDURE ON DAY OF ASSESSMENT

- 2.1. The Invigilator to arrive at the assessment venue at least 30 minutes before the commencement of the assessment and ensure that the venue is suitable and ready
- 2.2. As the learners arrive
 - 2.2.1. The learner must produce his/her assessment acknowledgement letter or completed PoE and their identity document with photo.
 - 2.2.2. The invigilator must compare name and initials on the assessment acknowledgement letter/PoE with the name and initials on the identity document of the candidate. **NO LEARNER IS TO BE ALLOWED TO SIT FOR THE ASSESSMENT IF THE ABOVE MENTIONED LETTER/PoE AND IDENTITY DOCUMENT IS NOT PRODUCED.**
 - 2.2.3. The learner must be ticked off on the Assessment Attendance Register. If the learner is not on the Assessment Attendance Register, the ICB must be contacted immediately.
- 2.3. The invigilator must ensure that there are no mobile phones, books, manuscripts, notes or bags on or near his/her desk. These must be left on the floor behind the invigilator's chair, so that they are not available to the learner. Except for the learners PoE, which must be left closed on the floor next to the learner's desk.
- 2.4. Inform the learners that if one is found guilty of contravening any rules or regulations or any assessment irregularity, his or her results may be declared null and void.
- 2.5. Fifteen minutes before the start time announce the commencement and finishing times of the assessment.
- 2.6. Learners may leave the assessment venue once they have completed their assessment, except for during the first and last 30 minutes, so as to not disturb other learners.
- 2.7. The Invigilator must open the sealed assessment question paper's envelope and hand out the appropriate question papers.
- 2.8. The invigilator must check with the learners and against the attendance register that all the learners have received the correct question paper and answer books.
- 2.9. Allow learners to read the question papers and that no writing occurs during this reading period.
- 2.10. Remind all learners to ensure that all relevant information required on the cover of the assessment answer book has been correctly completed.
 - 2.10.1. Learner's name
 - 2.10.2. Learner's ID Number
 - 2.10.3. Learner's ICB Membership Number
 - 2.10.4. Assessment name (Name of subject)
 - 2.10.5. Date of Assessment
 - 2.10.6. Venue of assessment
- 2.11. At the appointed starting time announce that the learner may commence writing.
- 2.12. Warn the learner every hour how much time is left. Fifteen minutes before finishing, announce the time remaining.

- 2.13. When the time has expired, announce that the learner must stop writing and insert his/her assessment answer script into their PoE, or if a Re-Assessment, hand in the script only.
- 2.14. The invigilator will collect Portfolios of Evidence in alphabetical order and the learner must sign the Assessment Attendance Register. When all have been collected, learners may leave. If the learner does not want to submit an answer book, you have to write 'No answer submitted' on the front of the answer book and hand it in with the rest of the learners PoE (include any rough work, although this will not be marked).
- 2.15. Collect all the question papers back from the learners.
- 2.16. Any learners who were absent or who failed to hand in an answer script or PoE must be marked absent.
- 2.17. The Attendance register must be signed by the Invigilator and the total number of scripts and PoE's recorded. Failure to complete and send the Attendance Register to the ICB with the PoE's could result in the PoE's not processed for marking until a register is supplied.
- 2.18. All assessment answer scripts and PoE's MUST be returned to the Institute immediately within 24 hours after the final assessments have been completed for that week, via courier service. If scripts are not despatched timeously, this may result in the disqualification of the learners as the quality cycles have been compromised.

3. LATE ARRIVALS

Learners who arrive at the assessment centre up to 30 minutes after the start of a paper may be permitted to write – but must give a reason for their lateness. This plus the candidate number and time of arrival must be documented on or attached to the Attendance Register. Latecomers must not be given extra time. If the Learner arrives over 30 minutes after the start of a paper, they will not be permitted to write the assessment.

4. ITEMS PERMITTED

- 4.1. Learners may use pocket calculators in the assessment as long as:
 - 4.1.1. They use them in a way that does not disturb other learners
 - 4.1.2. They don't need mains power supply
 - 4.1.3. They are not used to display information or run programmes that were stored on them before the assessment
- 4.2. Learners may not take any book, manual, paper or manuscript into the assessment, except those which are approved by the ICB and are listed in the Assessor's Instructions for that assessment. Any approved material taken into an assessment can only include highlighting and underlining – no other notes are allowed. Any unauthorised material must be collected and sent into the ICB.
- 4.3. Learners may not make use of a mobile phone in any way or form. These must be switched off and left at the front of the assessment venue.

5. CONDUCT DURING THE ASSESSMENT

- 5.1. Learners may not communicate, pass any information, book, paper or other material to any other learner during the assessment.
- 5.2. Learners may not leave an assessment venue without permission after the assessment has started. If they do leave without permission, they will not be allowed to return. If learners leave and don't intend to come back, they must hand in their answer scripts to the invigilator. In addition, nobody may leave during the first 30 minutes, except under exceptional circumstances and then only with permission from the invigilator.
- 5.3. Invigilators must not have a teaching/facilitating or similar role with the learners sitting the assessment. They must be independent and cannot be the learners' tutor.
- 5.4. When the invigilator says the assessment is over, learners must stop writing immediately and put down their pens/pencils. Anyone who continues to write will be recorded on the Attendance Register for misconduct.

6. CONDUCT OF THE INVIGILATOR

The invigilator must not

- 6.1. Read or do any other work that may hinder him/her from properly performing his/her duties
- 6.2. Use a mobile phone
- 6.3. Assist a learner answering any assessment related question
- 6.4. Invigilate a learning area in which he/she is a facilitator
- 6.5. Leave the assessment venue unattended
- 6.6. Speak to a third person in a manner that disturbs the learner
- 6.7. Hand over a copy of the question paper to any person outside the assessment venue, or take the question paper out of the assessment venue before the assessment has ended
- 6.8. Allow learners to violate the rules and regulations of the assessment

7. IRREGULARITIES

An assessment irregularity is defined as any event, act or omission, and any alleged event, act or omission, which may undermine or threaten the integrity, credibility or the security, or the fairness of the ICB assessment process. A learner found guilty of assessment dishonesty or an irregularity could have their assessment results declared null and void or any other reasonable sanction as deemed fit by the Academic Board.

A provider found guilty of assessment dishonesty or an irregularity could have their assessment venue status revoked, be subject to a fine, have their learners results declared null and void or any other reasonable sanction as deemed fit by the Academic Board.

The enforcement and adherence to academic honesty is the responsibility of the ICB and under the auspices of the Academic Board and each case is viewed independently.

8. PROCEDURE FOR INVIGILATORS FOR SUSPECTED IRREGULARITIES

If the Invigilator suspects that a learner has committed an assessment dishonesty or irregularity, he/she must:

- 8.1. Confiscate the incriminating material with minimum disruption to other learners whilst preserving the dignity of the learner concerned. Any such evidence confiscated becomes the property of the ICB and neither the learner, provider nor the learner's parents/guardian have the right to demand its return.
- 8.2. Confiscate the learner's answer book and make a note on the cover of the answer book that the answer book had been confiscated and the reason for the confiscation, including date and time of the incident and the invigilators name and write on the cover "Alleged irregularity"
- 8.3. Provide the learner with a new answer book and write on the front cover "Alleged irregularity – new answer book provided" together with the date and time.
- 8.4. Write "irregularity" alongside the learner's name on the attendance register and allow the learner to sign the notation.
- 8.5. Do not allow the learner any additional time for compensation of time lost in the course of detecting and processing the assessment irregularity.
- 8.6. Submit a detailed statement of the alleged irregularity together with any evidence, if applicable
- 8.7. Request the learner to submit a statement regarding the alleged irregularity. If the learner refuses, the invigilator is to make note of this in his/her statement.
- 8.8. Advise the learner that the fact that he/she was allowed to continue with the assessment does not serve as the condoning of his/her contravention of assessment regulations and that a written report will be submitted to the ICB's Academic Board.
- 8.9. Send the following information under separate cover, but with the other completed PoE's
 - 8.9.1. The incriminating evidence
 - 8.9.2. The answer books of the learner
 - 8.9.3. The statements from the learner and invigilator

9. TYPES OF IRREGULARITIES and ACTIONS

No	IRREGULARITY	ACTION TO BE TAKEN	PENALTY
1.	Failure to produce identification documents	a. Learner must not be allowed to write the assessment. b. The learner may leave to fetch identification, however needs to return within 30 minutes of the start of the assessment and then proceed to write without additional time.	Disqualification Time penalty
2.	Incorrect registration number or no assessment number	a. The provider and/or ICB will use all available means to establish the correct registration number b. If the registration number is not obtainable, learner must not write.	Disqualification
3.	Writing an assessment on the incorrect date	a. If the action was unintentional and sufficient evidence supplied by the provider, then the irregularity will be raised against the provider b. If the action was intentional or deliberate, the results of the learners must be declared null and void	Provider fine Disqualification Withdrawal of Invigilation center
4.	Learner not recorded on an Assessment Attendance Register	a. The ICB must be contacted immediately to establish reason for the learner not being booked for a particular assessment b. The ICB will immediately provide a corrected Attendance register where applicable. Otherwise, the learner is not permitted to write the assessment.	Disqualification
5.	Late arrival at the assessment venue	c. A learner must not be admitted to the assessment venue if the learner arrives more than 30 minutes after the start of the assessment. d. Learners arriving within 30 minutes of the start of the assessment will be allowed to enter the assessment venue, but will not be allowed additional time.	Time Reduction Disqualification
6.	Learner found in possession of unauthorized material during an assessment	a. If the extent of assistance obtained from the unauthorised material is substantial, the learner's results in that subject may be declared null and void. b. If the unauthorized material is not related to the subject being written, the learner is issued with a written warning, which will be taken into consideration should he/ she be guilty of a future offence.	Disqualification Written warning
7.	Learner found in possession of unauthorized electronic devices during the assessment session	a. If the unauthorized device was not used during the assessment session, the learner is issued with a written warning, which will be taken into consideration should he/ she be guilty of a future offence. b. If the unauthorized device was used during the assessment session and the assistance obtained is essential, the learner's results in that subject may be declared null and void.	Removal of Device Disqualification Written warning
8.	Learner assisting, being assisted, copying or communicating with another learner or any other party during an assessment sitting	a. The result of the learner caught copying may be declared null and void. b. The learner offering the assistance will also be sanctioned.	Disqualification
9.	Presentation of fraudulent identification or impersonation	a. The learner's results in that paper must be declared null and void.	Disqualification

10.	Evidence or suspicion of copying, being provided assistance, writing an "open book" assessment, or having had access to the memorandum	<p>a. In the case where the learner is found guilty, the results for that paper may be declared null and void.</p> <p>b. In the case of the invigilator or tutor, this must be regarded as an act of misconduct and the person involved must be suspended from all assessment related work. Should the provider appoint the invigilator or tutor, the provider is to be notified and relevant disciplinary action taken by the provider.</p>	Disqualification Provider Fine
11.	Handwriting of a different person on the scripts	<p>a. The result of the learner caught copying may be declared null and void.</p> <p>b. If there is evidence of collusion, the learner offering the assistance must also be sanctioned.</p>	Disqualification
12.	Learner obtains information prior to the date of the assessment about the contents of the assessment	<p>a. The learner may have obtained this info from either another learner, tutor or any third party</p> <p>b. The learner's results in that paper must be declared null and void.</p>	Disqualification Provider Fine
13.	Two assessment scripts with the same registration number	<p>a. If the action was unintentional the registration numbers must be corrected and the results released</p> <p>b. If the action was intentional or deliberate, the results of the guilty candidate for that paper must be declared null and void.</p>	Disqualification
14.	Crib notes discovered in scripts during the marking process	<p>a. If the unauthorised material is related to the subject being written, then that paper must be declared null and void.</p> <p>b. If the unauthorized material is not related to the subject being written, the learner is issued with a written warning, which will be taken into consideration should he/ she be guilty of a future offence.</p>	Disqualification Written warning
15.	Script removed from assessment venue and submitted later	<p>a. The results for that paper must be declared null and void</p>	Disqualification
16.	Submission of work that is not the learner's own work	<p>a. The learner who submits work that is not his or her own, may have his or her results declared null and void</p> <p>b. If there is evidence of collusion, the learner offering the assistance may also have his or her results declared null and void.</p>	Disqualification
17.	Acts of dishonesty	<p>a. Any act of dishonesty or action or activity that may result in the learner obtaining an unfair advantage, will result in the results for that paper declared null and void</p>	Disqualification
18.	Bribery or attempted Bribery	<p>a. Any attempt by a learner to bribe any official will result in that learner's assessment being declared null and void.</p> <p>b. Any person or provider offering the assistance will also be sanctioned.</p>	Disqualification Written warning Withdrawal of Invigilation center
19.	Leaked or stolen question papers	<p>a. All learners where the theft of leakage has occurred will have their results declared null and void.</p>	Disqualification Withdrawal of Invigilation center
20.	Assessment batch not dispatched by	<p>a. The invigilator needs to supply reasons for the late dispatch and confirmed that the papers have not</p>	Disqualification Written warning

	the invigilator within 24 hours of last assessment	been tampered with b. Scripts and PoE's may be returned unmarked.	Withdrawal of Invigilation center
21.	Assessment script lost or missing from an assessment group	a. The Invigilator needs to supply documented evidence of submission of script. b. Should the ICB not receive an assessment script/PoE from the invigilator, as indicated as packed on the Attendance Register, then the ICB is required to contact the provider and/or learner and advise the provider or learner of non-receipt of the assessment script.	Disqualification Written warning Withdrawal of Invigilation center
22.	Creating a disturbance, intimidation and drunkenness, disregarding the arrangements and/or the reasonable instructions of the invigilator	a. The learner must be warned and if the behavior or action persists, then the learner must be removed from the assessment venue. b. The learner forfeits the opportunity to write or to continue writing that specific assessment paper c. Where the learner has commenced writing, the marks obtained will be declared null and void	Disqualification
23.	Non-adherence to the ICB's assessment policy	a. Any non-compliance may result in a learners or a group of learner's results being declared null and void, depending on the severity of the non-compliance. b. Any non-compliance by a provider may result in a provider being sanctioned.	Disqualification Written warning Withdrawal of Invigilation center
24.	Learner receiving/writing a subject other than what has been registered for	a. Learner is to request correct subject question paper from invigilator b. Where a learner submits an answer script for a subject not entered for, the marks obtained will be declared null and void.	Disqualification Provider fine Withdrawal of invigilation center

10. ACADEMIC BOARD (AB)

All suspected irregularities reported to the AB will be investigated. The AB will review all the evidence and conduct an investigation and determine whether a hearing is required. After the hearing (if required), and review of the evidence supplied, the findings of the Academic Board will be communicated to the learner and the provider allowing either the provider or the learner to appeal the findings.

11. PROCEDURE for ASSESSORS and MODERATORS for SUSPECTED IRREGULARITIES

Assessment irregularities identified by the assessors or moderators during the marking process must be dealt with as follows:

- 11.1. All assessment irregularities suspected by the assessors or moderators must immediately be reported to the Academic Board.
- 11.2. Answer scripts in which alleged irregularities are identified must be marked as usual. The word: "IRREGULARITY" must be written in ink on the front cover.
- 11.3. These scripts, together with the assessors or moderators report must be handed to the Academic Board.
- 11.4. The marks of the suspected learner must be recorded on the mark-sheet with an indicator stating "irregularity"
- 11.5. If the Academic Board agrees with the assessor or moderator regarding the "irregularity", then the Academic Board will commence an investigation into the alleged irregularity. However, if the Academic Board does not consider the "irregularity" an irregularity, then the script is to be returned to the assessors for final processing and release of the results to the learner or provider and the ICB.

12. PROCEDURE FOR IRREGULARITY HEARINGS

If the Academic Board decides that a hearing should be held, such a hearing must be held under the following procedures:

- 12.1. The hearing must be lawful, reasonable, timely and procedurally fair and no rights of the individual should be infringed. The principle of openness and transparency of administrative action must be adhered to.
- 12.2. The following procedure must be followed in respect of hearings:
 - 12.2.1. Procedures for hearings vary according to circumstances and persons involved
 - 12.2.2. A written notification must be submitted to the learner and or training provider concerned in the alleged assessment irregularity
 - 12.2.2.1. The written notification must be forwarded either by registered post, email or delivered to a particular individual who acknowledges receipt of the notification
 - 12.2.2.2. The written notification must state clearly that the absence of a reply will not delay the hearing in respect of the suspected assessment irregularity.
 - 12.2.2.3. If a learner cannot be contacted and documented evidence is in place indicating that all reasonable steps have been taken to try and contact the learner, then the hearing will not be postponed.
 - 12.2.2.4. All learners suspected of an assessment irregularity must be allowed the opportunity to respond to the allegations either in person or via a written response within ten working days of receipt of the notice of the irregularity.
 - 12.2.2.5. Learners that do not want to attend the hearing may submit an admission of guilt in the form of an affidavit within ten days of the notice to attend a hearing.
 - 12.2.2.6. Where a learner is under the age of 21, the learner may be accompanied by the learners parent/s or guardian
- 12.3. Evidence presented at an investigation or hearing may take the form of material evidence, written evidence oral or other evidence
 - 12.3.1. All hearings must be recorded, either electronically or written, and such record of the hearing is to be kept on file.
 - 12.3.2. If a learner is unhappy with the procedures or findings of the hearing, the learner may appeal the outcome within 14 days of the receipt of the findings of hearing. If the appeal of the hearing is unsuccessful the original findings will stand and no further correspondence will be considered.

13. ACCEPTANCE and AGREEMENT

ICB INVIGILATOR/PRIVATE INVIGILATOR

I hereby agree to perform the role and function of INVIGILATOR for ICB assessments and agree to conduct ICB assessments in accordance with this policy and the ICB's Assessment Policies as amended from time to time by the ICB.

THUS AGREED and SIGNED by

Signed by: _____ Full Name of Invigilator: _____

at _____ on this the ____ Day of _____ 20 ____

Signed by: _____ Name of Witness: _____

PROVIDER

We, _____ (PROVIDER & CAMPUS),

hereby nominate the above INVIGILATOR as our CHIEF INVIGILATOR to assume responsibility for all the functions, roles and responsibilities in terms of this policy on our behalf and agree to conduct ICB assessments in accordance with this policy and the ICB's Assessment Policies as amended from time to time by the ICB.

THUS AGREED and SIGNED by

Signed by: _____ Chief Invigilator name: _____
Chief Invigilator

Signed by: _____ Provider Representative name: _____
Provider

at _____ on this the ____ Day of _____ 20 ____

Signed by: _____ Name of Witness: _____

Annexure A- summary of significant changes - version 2011.2014.v1

1. Page 1: updated ICB logo
2. Clause 9: Point 24 added