

Guide to the Data Submission Process

T10 Malpractice - Centres v2



March 2016

Ofqual/16/5901

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1 Malpractice - Centres

Introduction

In order to fulfil our regulatory and accreditation functions as set out in the Apprenticeships, Skills, Children and Learning Act 2009¹, we require awarding organisations to provide exams delivery data for regulated qualifications.

When will data be collected?

Data will be collected according to the reporting schedule which is agreed and maintained by Ofqual's Data Services team..

What data will be collected?

Data on malpractice investigated by awarding organisations will be collected for GCE and GCSE. **The figures for these qualifications should be added together and submitted on one form. So GCSE and GCE together. Each country will need to be provided on a separate row in the CSV file.** If you offer these qualifications, you must upload a row for each country, even if it is a line of zeros.

How will the data be collected?

Awarding Organisations will need to login to the secure SFTP site and upload a CSV file to the relevant folder, e.g. T0 Malpractice.

In each folder, there will also be two sub folders called **Valid** and **Invalid**. Every time a file is uploaded, the validation process will generate a report, either confirming the file is valid or invalid.

This report will then be placed in the **Valid** or **Invalid** folder for reference. When an invalid report has been generated, a notification e-mail will be sent to AOs and the invalid CSV file will be removed from the folder it was placed in so that a replacement file can be uploaded.

¹ <http://www.legislation.gov.uk/ukpga/2009/22/contents>

General completion guidelines

- The reporting date entered should be the date the file was due to be reported, regardless of when it is actually uploaded to RITS.
- Numeric values must not have any formatting.
- Type 5 and type 9 sanctions, which are defined in the JCQ guidance <http://www.jcq.org.uk/Download/exams-office/malpractice/suspected-malpractice-in-examinations-and-assessments-2013-2014> are not included in this template, as they do not apply to GCSE and A level. The numbering of sanctions on this template therefore miss out types 5 and 9.
- Column headers must be identical to the Name column in the table below.

2 File formats

Standard formats

The first row of the file must be headers as displayed in the '**Name**' column of the table below. The subsequent rows must have the values of the data to be reported which must match the format and validation rules below.

Malpractice Candidates

Name	Description	Position	Validation Regular Expression	Description of Regular Expression
Exam Series	Exam series data relates to e.g. June 2016	0	^(January March June November)([]?[0-9][0-9][0-9][0-9])\$	Full month name of exam series and year.
Awarding Organisation	Name of the awarding organisation	1	^.{1,100}\$	One, to one hundred characters accepted
Reporting date	Date the file was submitted to RITS - Format yyyy-mm-dd	2	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 1[12][0-9] 3[01])\$	The date in the following format: year (four digits), a dash, month (two digits), a dash, day (two digits)
Qualification	Level and type of qualification e.g. GCSE and GCE	3	^(GCSE and GCE)\$	The following will be accepted: GCSE and GCE
Country	For AO's to enter the specific country the data relates to e.g., Wales, Northern Ireland.	4	^(England Wales Northern Ireland Non UK Other UK Regions)\$	One of the following list: England, Wales, Northern Ireland, Other UK Regions, or Non UK
Type 1 Centre Staff Breach of security - Internal	Type 1 - Penalty imposed on centre staff -Written Warning - As a result of a Breach of Security for Internal Assessment	5	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 1 Centre Staff Breach of security - External	Type 1 - Penalty imposed on centre staff -Written Warning - As a result of a Breach of Security for External Assessment	6	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 1 Centre Staff Giving Assistance - Internal	Type 1 - Penalty imposed on Centre Staff -Written Warning - As a result of Giving Assistance for Internal Assessment	7	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 1 Centre Staff Giving Assistance - External	Type 1 - Penalty imposed on centre staff - Written Warning - As a result of Giving Assistance for External Assessment	8	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 1 Centre Staff Other Reasons - Internal	Type 1 - Penalty imposed on centre staff -Written Warning - As a result of Other Reasons for Internal Assessment	9	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 1 Centre Staff Other Reasons - External	Type 1 - Penalty imposed on centre staff -Written Warning - As a result of Other Reasons for External Assessment	10	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 2 Centre Staff Breach of security - Internal	Type 2 - Penalty imposed on centre staff - Special Conditions - As a result of a Breach of Security for Internal Assessment	11	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 2 Centre Staff Breach of security - External	Type 2 - Penalty imposed on centre staff - Special Conditions - As a result of a Breach of Security for External Assessment	12	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 2 Centre Staff- Giving Assistance - Internal	Type 2 - Penalty imposed on centre staff - Special Conditions - As a result of Giving Assistance for Internal Assessment	13	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 2 Centre Staff- Giving Assistance - External	Type 2 - Penalty imposed on centre staff - Special Conditions - As a result of Giving Assistance for External Assessment	14	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 2 Centre Staff- Other Reasons - Internal	Type 2 - Penalty imposed on centre staff - Special Conditions - As a result of Other Reasons for Internal Assessment	15	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 2 Centre Staff- Other Reasons - External	Type 2 - Penalty imposed on centre staff - Special Conditions - As a result of Other Reasons for External Assessment	16	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centre Staff Breach of security - Internal	Type 3 - Penalty imposed on centre staff - Training/Mentoring - - As a result of a Breach of Security for Internal Assessment	17	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centre Staff Breach of security - External	Type 3 - Penalty imposed on centre staff - Training/Mentoring - - As a result of a Breach of Security for External Assessment	18	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centre Staff Giving Assistance - Internal	Type 3 - Penalty imposed on centre staff - Training/Mentoring - - As a result of Giving Assistance for Internal Assessment	19	^d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 3 Centre Staff- Giving Assistance - External	Type 3 - Penalty imposed on centre staff - Training/Mentoring - - As a result of Giving Assistance for External Assessment	20	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centre Staff- Other Reasons - Internal	Type 3 - Penalty imposed on centre staff - Training/Mentoring - - As a result of Other Reasons for Internal Assessment	21	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centre Staff- Other Reasons - External	Type 3 - Penalty imposed on centre staff - Training/Mentoring - - As a result of Other Reasons for External Assessment	22	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centre Staff Breach of security - Internal	Type 4 - Penalty imposed on centre staff - Suspension - As a result of a Breach of Security for Internal Assessment	23	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centre Staff Breach of security - External	Type 4 - Penalty imposed on centre staff - Suspension - As a result of a Breach of Security for External Assessment	24	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 4 Centre Staff- Giving Assistance - Internal	Type 4 - Penalty imposed on centre staff - Suspension - As a result of Giving Assistance for Internal Assessment	25	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centre Staff- Giving Assistance - External	Type 4 - Penalty imposed on centre staff - Suspension - As a result of Giving Assistance for External Assessment	26	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centre Staff- Other Reasons - Internal	Type 4 - Penalty imposed on centre staff - Suspension - As a result of Other Reasons for Internal Assessment	27	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centre Staff- Other Reasons - External	Type 4 - Penalty imposed on centre staff - Suspension - As a result of Other Reasons for External Assessment	28	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 1 Centres Breach of security - Internal	Type 1 - Penalty imposed on centres Written Warning- - As a result of a Breach of Security for Internal Assessment	29	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 1 Centres Breach of security - External	Type 1 - Penalty imposed on centres Written Warning- - As a result of a Breach of Security for External Assessment	30	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 1 Centres Giving Assistance - Internal	Type 1 - Penalty imposed on centres Written Warning- - As a result of Giving Assistance for Internal Assessment	31	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 1 Centres Giving Assistance - External	Type 1 - Penalty imposed on centres Written Warning- - As a result of Giving Assistance for External Assessment	32	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 1 Centres Other Reasons - Internal	Type 1 - Penalty imposed on centres Written Warning- - As a result of Other Reasons for Internal Assessment	33	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 1 Centres Other Reasons - External	Type 1 - Penalty imposed on centres Written Warning- - As a result of Other Reasons for External Assessment	34	^d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 2 Centres Breach of security - Internal	Type 2 - Penalty imposed on centres Head to review and report- - As a result of a Breach of Security for Internal Assessment	35	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 2 Centres Breach of security - External	Type 2 - Penalty imposed on centres Head to review and report- - As a result of a Breach of Security for External Assessment	36	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 2 Centres Giving Assistance - Internal	Type 2 - Penalty imposed on centres Head to review and report- - As a result of Giving Assistance for Internal Assessment	37	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 2 Centres Giving Assistance - External	Type 2 - Penalty imposed on centres Head to review and report- - As a result of Giving Assistance for External Assessment	38	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 2 Centres Other Reasons - Internal	Type 2 - Penalty imposed on centres Head to review and report- - As a result of Other Reasons for Internal Assessment	39	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 2 Centres Other Reasons - External	Type 2 - Penalty imposed on centres Head to review and report - - As a result of Other Reasons for External Assessment	40	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centres Breach of security - Internal	Type 3 - Penalty imposed on centres Approval of specific assessment tasks - - As a result of a Breach of Security for Internal Assessment	41	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centres Breach of security - External	Type 3 - Penalty imposed on centres Approval of specific assessment tasks - - As a result of a Breach of Security for External Assessment	42	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centres Giving Assistance - Internal	Type 3 - Penalty imposed on centres Approval of specific assessment tasks - - As a result of Giving Assistance for Internal Assessment	43	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centres Giving Assistance - External	Type 3 - Penalty imposed on centres Approval of specific assessment tasks -- As a result of Giving Assistance for External Assessment	44	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 3 Centres Other Reasons - Internal	Type 3 - Penalty imposed on centres Approval of specific assessment tasks -- As a result of Other Reasons for Internal Assessment	45	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 3 Centres Other Reasons - External	Type 3 - Penalty imposed on centres Approval of specific assessment tasks -- As a result of Other Reasons for External Assessment	46	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centres Breach of security - Internal	Type 4 - Penalty imposed on centres Increased level of inspection and monitoring - - As a result of a Breach of Security for Internal Assessment	47	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centres Breach of security - External	Type 4 - Penalty imposed on centres Increased level of inspection and monitoring - - As a result of a Breach of Security for External Assessment	48	^d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 4 Centres Giving Assistance - Internal	Type 4 - Penalty imposed on centres Increased level of inspection and monitoring - - As a result of Giving Assistance for Internal Assessment	49	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centres Giving Assistance - External	Type 4 - Penalty imposed on centres Increased level of inspection and monitoring -- As a result of Giving Assistance for External Assessment	50	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centres Other Reasons - Internal	Type 4 - Penalty imposed on centres Increased level of inspection and monitoring -- As a result of Other Reasons for Internal Assessment	51	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 4 Centres Other Reasons - External	Type 4 - Penalty imposed on centres Increased level of inspection and monitoring - - As a result of Other Reasons for External Assessment	52	^d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 6 Centres Breach of security - Internal	Type 6 - Penalty imposed on centres Restriction on examination materials - As a result of a Breach of Security for Internal Assessment	53	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 6 Centres Breach of security - External	Type 6 - Penalty imposed on centres Restriction on examination materials - As a result of a Breach of Security for External Assessment	54	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 6 Centres Giving Assistance - Internal	Type 6 - Penalty imposed on centres Restriction on examination materials - As a result of Giving Assistance for Internal Assessment	55	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 6 Centres Giving Assistance - External	Type 6 - Penalty imposed on centres Restriction on examination materials - As a result of Giving Assistance for External Assessment	56	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 6 Centres Other Reasons - Internal	Type 6 - Penalty imposed on centres Restriction on examination materials - As a result of Other Reasons for Internal Assessment	57	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 6 Centres Other Reasons - External	Type 6 - Penalty imposed on centres Restriction on examination materials - As a result of Other Reasons for External Assessment	58	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 7 Centres Breach of security - Internal	Type 7 - Penalty imposed on centres Independent invigilators - As a result of a Breach of Security for Internal Assessment	59	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 7 Centres Breach of security - External	Type 7 - Penalty imposed on centres Independent invigilators - As a result of a Breach of Security for External Assessment	60	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 7 Centres Giving Assistance - Internal	Type 7 - Penalty imposed on centres Independent invigilators - As a result of Giving Assistance for Internal Assessment	61	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 7 Centres Giving Assistance - External	Type 7 - Penalty imposed on centres Independent invigilators - As a result of Giving Assistance for External Assessment	62	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 7 Centres Other Reasons - Internal	Type 7 - Penalty imposed on centres Independent invigilators - As a result of Other Reasons for Internal Assessment	63	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 7 Centres Other Reasons - External	Type 7 - Penalty imposed on centres Independent invigilators - As a result of Other Reasons for External Assessment	64	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 8 Centres Breach of security - Internal	Type 8 - Penalty imposed on centres Suspension of registrations or entries - As a result of a Breach of Security for Internal Assessment	65	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 8 Centres Breach of security - External	Type 8 - Penalty imposed on centres Suspension of registrations or entries - As a result of a Breach of Security for External Assessment	66	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 8 Centres Giving Assistance - Internal	Type 8 - Penalty imposed on centres Suspension of registrations or entries - As a result of Giving Assistance for Internal Assessment	67	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 8 Centres Giving Assistance - External	Type 8 - Penalty imposed on centres Suspension of registrations or entries - As a result of Giving Assistance for External Assessment	68	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 8 Centres Other Reasons - Internal	Type 8 - Penalty imposed on centres Suspension of registrations or entries - As a result of Other Reasons for Internal Assessment	69	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 8 Centres Other Reasons - External	Type 8 - Penalty imposed on centres Suspension of registrations or entries - As a result of Other Reasons for External Assessment	70	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 10 Centres Breach of security - Internal	Type 10 - Penalty imposed on centres Withdrawal of approval for specific qualification(s) - As a result of a Breach of Security for Internal Assessment	71	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 10 Centres Breach of security - External	Type 10 - Penalty imposed on centres Withdrawal of approval for specific qualification(s) - As a result of a Breach of Security for External Assessment	72	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 10 Centres Giving Assistance - Internal	Type 10 - Penalty imposed on centres Withdrawal of approval for specific qualification(s) - As a result of Giving Assistance for Internal Assessment	73	^d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 10 Centres Giving Assistance - External	Type 10 - Penalty imposed on centres Withdrawal of approval for specific qualification(s) - As a result of Giving Assistance for External Assessment	74	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 10 Centres Other Reasons - Internal	Type 10 - Penalty imposed on centres Withdrawal of approval for specific qualification(s) - As a result of Other Reasons for Internal Assessment	75	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 10 Centres Other Reasons - External	Type 10 - Penalty imposed on centres Withdrawal of approval for specific qualification(s) - As a result of Other Reasons for External Assessment	76	^d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 11 Centres Breach of security - Internal	Type 11 - Penalty imposed on centres Withdrawal of centre recognition - As a result of a Breach of Security for Internal Assessment	77	^d{1,6}\$	A numeric value between 0 and 999,999 accepted

Type 11 Centres Breach of security - External	Type 11 - Penalty imposed on centres Withdrawal of centre recognition - As a result of a Breach of Security for External Assessment	78	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 11 Centres Giving Assistance - Internal	Type 11 - Penalty imposed on centres Withdrawal of centre recognition - As a result of Giving Assistance for Internal Assessment	79	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 11 Centres Giving Assistance - External	Type 11 - Penalty imposed on centres Withdrawal of centre recognition -- As a result of Giving Assistance for External Assessment	80	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 11 Centres Other Reasons - Internal	Type 11 - Penalty imposed on centres Withdrawal of centre recognition -- As a result of Other Reasons for Internal Assessment	81	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted
Type 11 Centres Other Reasons - External	Type 11 - Penalty imposed on centres Withdrawal of centre recognition - As a result of Other Reasons for External Assessment	82	^\d{1,6}\$	A numeric value between 0 and 999,999 accepted

3 Contacts

For all queries relating to the data collection process, amendments to data previously provided, or for general guidance, please contact:

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