Malpractice data submission

Guide to the data submission process

ofqual

Contents

Introduction

In order to fulfil our regulatory and accreditation functions as set out in the [Apprenticeships, Skills, Children and Learning Act 2009](#), 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?

Malpractice data will be collected for GCSE, GCSE linear, GCSE full course, GCSE short course, AS and A level, Project L3 and Advanced Extension Award qualifications.

General completion guidelines

- Please see appendix A for further clarification of field values.
- Numeric values must not have any formatting.
- If the malpractice case is still open when the data is reported, 'case ongoing outcome TBD' should be recorded in the type of penalty issued field, and:

  - if the awarding organisation does not record an offence at the beginning of the process, then 'case ongoing' should be recorded in the type of offence field;

  - if the awarding organisation does record an offence at the beginning of the process, it should be entered into the type of offence field as normal (as per the agreed list).

- The value 'insufficient information' should be entered into the type of offence field, for malpractice cases where the offence is unknown.
- In the event of systemic issues, where the specific subject information is unknown, i.e. Access Arrangements, Security Breaches, Maladministration or Other, then 'non-assessment specific' should be entered in the specification title field. The value of '-2' should also be entered into other related fields if unknown, e.g. QAN, specification code, unit code etc.
- For malpractice cases that relate to access arrangements, the value entered for the type of offence field, should be preceded by 'AA_' e.g. 'AA_deception', 'AA_improper assistance'.
- All malpractice cases that are investigated should be reported. If there is insufficient evidence to issue a penalty 'No evidence to substantiate allegation' should be entered into the type of penalty issued field.

- Data for each exam series e.g. summer 2018, should only refer to sanctions applied for offences committed in that series. If, due to the length of an investigation, a sanction is applied in summer 2018, which related to an offence committed in summer 2017, awarding organisations should notify Data Services, so that the original 2017 file can be rejected enabling a revised file to be upload to the Data Portal. To reduce the number of potential updates to data, any required updates to historic data should be made in November, when the current year's data is submitted.

File format

The file must be CSV format and the first row 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.

Name	Description	Position	Validation Regular Expression	Description of Regular Expression
Exam Series	Exam series data relates to e.g. June 2018	1	^(January|June)([ ][0-9][0-9][0-9][0-9])$	Full month name of exam series and year.
Reporting date	Date the file was due to be submitted regardless of when it was actually uploaded. Format accepted 120 ODBC canonical **yyyy-mm-dd.**	2	^(20)\d\d[-](0[1-9]|1[012])[-](0[1-9]|[12][0-9]|3[01])$	The date in the following format: year (four digits), a dash, month (two digits), a dash, day (two digits).
Awarding organisation	Name of the awarding organisation	3	^.{1,100}$	1 to 100 characters accepted
Malpractice case identifier	Unique case identifier Note: what makes this unique	4	^.{1,25}$	1, to 25 characters accepted
Centre No.	Centre number (NCN)	5	^\d{1,5}$	Up to five digit integer accepted
Type of malpractice	To indicate type of malpractice	6	^(Candidate|Centre|Centre staff)$	Accepted values: Candidate, Centre, Centre staff.
Unique Candidate Identifier	Unique Candidate Identifier (UCI)	7	^.{1,13}$	Alpha numeric 13 characters accepted **-2 also accepted for centre and centre staff malpractice.**
Staff identifier	Unique centre staff identifier (allocated by individual awarding organisations). **-2 accepted for candidate malpractice, or where number of staff involved in case is unknown.**	8	^.{1,50}$	1, to 50 characters accepted. **-2 also accepted**

QAN	Qualification Accreditation Number e.g. 123/1234/1	9	^.{1,10}$	1 to 10 characters accepted **-2 also accepted for candidates not certificating, taking units that can be used against either AS or A level specifications.**
Specification title	Specification title also known as subject title	10	^.{1,150}$	1 to 150 characters accepted. **-2 also accepted**
Specification code	Specification code also known as Subject Award Code and Cash-in Code	11	^.{1,7}$	1 to 7 characters accepted **-2 also accepted**
Unit code	Unit code	12	^.{1,10}$	1 to 10 characters accepted. **-2 accepted where not available or not applicable**

Qualification level	Level of qualification e.g. GCSE	13	^(GCSE|GCSE linear|GCSE short course|GCSE full course|AS|A level||App A Level Dbl|App A Level Sgl|App AS Dbl|App AS Sgl|GCE A level|Project L3|AEA)$	One of the following list: GCSE, GCSE linear, GCSE short course, GCSE full course, AS, A level, App A Level Dbl, App A Level Sgl, App AS Dbl, App AS Sgl, Project L3 or AEA. **GCE A level also accepted for candidates not certificating, taking units that can be used against either AS or A level specifications.** **-2 also accepted**
Assessment type	To indicate type of assessment, internal or external.	14	^(Internal|External)$	*Internal* or *External* accepted. **-2 accepted where not available or not applicable**
Type of offence	Description of offence as per pre-agreed list of offences.	15	Accepted values as per pre-agreed list of offences.	Accepted values list as per pre-agreed list of offences.
Type of penalty issued	Description of penalty as per pre-agreed list of penalties.	16	Accepted values as per pre-agreed list of penalties.	Accepted values as per pre-agreed list of penalties. *Case ongoing outcome TBD* also accepted.

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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September 2020   **Ofqual/20/6687/4**