



# ICB

ACCREDITED BUSINESS  
QUALIFICATIONS

## ASSESSMENT INVIGILATION & IRREGULARITY POLICY

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ANNEXURE A: Significant updates to this version

## 1. ROLES AND RESPONSIBILITIES OF INVIGILATORS

The main role of Invigilators at ICB assessments is to make sure the assessment is run properly, meets the ICB's standards, and complies with the ICB Assessment Policy.

These rules must be applied:

- 1.1. Assessments must be conducted on the date and at the time specified by the ICB.
- 1.2. The Invigilator must make sure that the assessment venues are available and that:
  - 1.2.1. There should be only one learner per table/desk.
  - 1.2.2. Charts, drawings, formulae and any other written material must be removed from the walls or chalkboard before the assessment.
  - 1.2.3. There is at least 1m (one meter) of space between each learner.
  - 1.2.4. There is good ventilation and lighting.
- 1.3. The assessment papers must be kept secure and confidential before the date and time of assessment.
- 1.4. Invigilators must have no relationship to the learners who are being assessed. Invigilators cannot be the learners' lecturers, tutors, advisors, etc.
- 1.5. Providers and Invigilators accept and understand that if there is any deviation from the ICB's stated procedures, learners may be disqualified from the assessment, and the ICB may withdraw the Provider's authority to act as an assessment venue.

## 2. ASSESSMENT DAY PROCEDURE

- 2.1. The Invigilator must arrive at the assessment venue at least 30 minutes before the assessment is due to start, and prepare the venue.
- 2.2. As the learners arrive:
  - 2.2.1. The learner must produce his/her assessment acknowledgement letter or completed PoE, and identity document with photo.
  - 2.2.2. The Invigilator must compare the learners' 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 LETTER/PoE AND IDENTITY DOCUMENT IS NOT PRODUCED, OR IF THEY DO NOT MATCH.**
  - 2.2.3. If the details match, the Invigilator must tick the learner 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 all learners' desks are clear of mobile phones, books, manuscripts, notes and bags. These must be left on the floor behind the Invigilator's chair, so that they are not available to the learner. The only exception is the learner's PoE, which must be placed, closed, on the floor next to the learner's desk.
- 2.4. The Invigilator must inform the learners that if anyone is found guilty of contravening any rules or regulations, or if there is any assessment irregularity, his/her results may be declared null and void.
- 2.5. Learners are allowed leave the assessment venue once they have completed their assessment, EXCEPT during the first and last 30 minutes. This is to avoid disturbing everyone else.
- 2.6. Fifteen minutes before the assessment begins, the Invigilator must announce the start and end times of the assessment.
- 2.7. The Invigilator must open the sealed envelopes containing the assessment question papers and hand the appropriate papers out to the correct learners.
- 2.8. The Invigilator must check with the learners and against the attendance register that everyone has received their correct question paper and answer books.
- 2.9. There is 15 minutes of reading time before the start of the assessment. The Invigilator must allow learners to read the question papers and announce that no writing can take place during this reading period.

- 2.10.** The Invigilator must remind all learners to check that all the information required on the cover of the assessment answer book has been correctly completed. This includes:
- 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.** Assessment venue.
- 2.11.** At the appointed starting time, the Invigilator announces that the learners may start writing.
- 2.12.** The Invigilator must announce how much time is left every hour, as well as 15 minutes before the end of the assessment.
- 2.13.** When the time has expired, the Invigilator must tell the learners to stop writing and insert their assessment answer script into their PoE. If learners are writing Re-assessments, they will only hand in their scripts (no PoE).
- 2.14.** The Invigilator will collect Portfolios of Evidence in alphabetical order and the learner must sign the Assessment Attendance Register at this time. If a learner does not want to submit an answer book, he/she must write 'No answer submitted' on the front of the answer book and hand it in with the rest of his/her PoE (include any rough work, although this will not be marked).
- 2.15.** The invigilator then collects all the question papers back from the learners. Learners may leave when all Portfolios of Evidence and question papers have been collected.
- 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 Invigilator MUST sign the Attendance Register AND record the total number of scripts and Portfolios of Evidence that were handed in. If this is not done, it could mean a delay in the marking of the assessments as these will only be processed when a register is supplied.
- 2.18.** All assessment answer scripts and Portfolios of Evidence MUST be returned to the ICB immediately (within 24 hours after the final assessments have been completed for that week), via courier service. Any delays to sending the documents may mean learners are disqualified, as the integrity of the assessments may have been compromised.

### **3. DEALING WITH LATE ARRIVALS**

Arrivals within 30 minutes of the start of the assessment:

- Learners must give a reason for their lateness.
- They may be permitted to write if their reason is good.
- Their learner number, time of arrival and excuse for being late must be written on or attached to the Attendance Register.
- Latecomers must not be given extra time.

Arrivals more than 30 minutes after the assessment has started:

- Learners arriving more than 30 minutes late will not be allowed to write the assessment.

### **4. LIST OF 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 material which is approved by the ICB and is listed on the front cover of the Summative Assessment. Any approved material taken into an assessment can only be marked with highlighting and underlining – no other notes are allowed. Any unauthorised material must be collected and sent in to the ICB.

- 4.3. Learners may not make any use of a mobile phone. Learners' phones must be switched off and left at the front of the assessment venue.

## 5. LEARNER 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 coming 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 the Invigilator's permission.
- 5.3. 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 prevent him/her from performing his/her duties properly.
- 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 lecturer, facilitator or tutor.
- 6.5. Leave learners unattended in the assessment venue.
- 6.6. Speak to a third person in a manner that disturbs the learners.
- 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 any *actual* event, act or omission, and any *alleged* event, act or omission, which can compromise the integrity, credibility, security, or fairness of ICB assessments.

If learners are found guilty of an assessment irregularity (being dishonest), they could be disqualified from the assessment, have their assessment declared invalid, or have other appropriate action taken against them by the ICB's Academic Board.

If a Provider is found guilty of assessment dishonesty or an irregularity, they could have their assessment venue status revoked, be subject to a fine, have their learners results declared invalid, or have other appropriate action taken against them by the ICB's 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. SUSPECTED IRREGULARITIES: PROCEDURES FOR INVIGILATORS TO FOLLOW

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

- 8.1. Confiscate the incriminating material with minimum disruption to other learners, whilst preserving the dignity of the offending learner. Any confiscated evidence becomes the property of the ICB and the learner, Provider, and the learner's parents/guardian have no right to demand its return.
- 8.2. Confiscate the learner's answer book and make the following notes on its cover: 1. The words "Alleged irregularity". 2. A note that the answer book has been confiscated. 3. The reason for the confiscation. 4. The date and time of the incident. 5. The Invigilator's name.
- 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 get the learner to sign the notation.
- 8.5. Do not allow the learner any additional time to compensate for the time lost in processing the assessment irregularity.
- 8.6. The Invigilator must compile and submit a detailed statement of the alleged irregularity, together with any evidence if applicable.
- 8.7. The Invigilator must ask 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 own statement.
- 8.8. Let the learner know that the fact that he/she was allowed to continue with the assessment does not mean that his/her contravention of the assessment regulations is condoned – and that a written report will be submitted to the ICB's Academic Board.
- 8.9. The Invigilator must send the following information under separate cover, but with the other completed Portfolios of Evidence:
  - 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

|    | <b>IRREGULARITY</b>   | <b>ACTION TO BE TAKEN</b>  | <b>PENALTY</b>  |
|----|---|--|---|
| 1. | The learner does not produce identification documents                                   | a. The learner must not be allowed to write the assessment.<br>b. The learner may leave to fetch identification, however must return within 30 minutes of the start of the assessment - and then proceed to write without additional time.   | Disqualification.<br>Time penalty.  |
| 2. | The learner's registration number is incorrect or they do not have an assessment number | a. The Provider and/or ICB will use all available means to establish the correct registration number.<br>b. If the registration number is not obtainable, the learner cannot sit the assessment.   | Disqualification.   |
| 3. | The learner arrives to write the assessment on the wrong date                           | a. If the action was unintentional and the Provider can supply sufficient evidence of this, then the irregularity will be raised against the Provider.<br>b. If the action was intentional, the learner's results must be declared null and void.                                  | Provider fine.<br>Disqualification.<br>Withdrawal of Invigilation center. |
| 4. | The learner is not recorded on the Assessment Attendance Register                       | a. The ICB must be contacted immediately to establish reason for the learner not being booked for a particular assessment.<br>b. The ICB will immediately provide a corrected Attendance Register where applicable. Otherwise, the learner is not allowed to write the assessment. | Disqualification.   |
| 5. | The learner arrives late at the assessment venue  | c. Learners arriving more than 30 minutes after the start of the assessment will not be admitted.<br>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.                 | Disqualification.<br>Time reduction.                                      |

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| 6.  | The learner is found with unauthorised material during an assessment  | <p>a. If the forbidden material gives the learner a significant advantage, the learner's results in that subject may be disqualified and their results declared null and void.</p> <p>b. If the unauthorised 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.<br>Written warning.                       |
| 7.  | The learner is found with unauthorised electronic devices during the assessment session   | <p>a. If the unauthorised 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.</p> <p>b. If the unauthorised device was used during the assessment session, and the assistance it provided was essential, the learner's results in that subject may be declared null and void.</p>                                 | Removal of device.<br>Written warning.<br>Disqualification. |
| 8.  | The learner communicates with another learner or any party during an assessment sitting. This includes assisting, being assisted and copying. | <p>a. The results of the learner caught copying may be declared null and void.</p> <p>b. The learner offering the assistance will also be sanctioned.</p>  | Disqualification.   |
| 9.  | The learner presents fraudulent identification or impersonates someone else   | <p>a. The learner will not be allowed to sit the assessment.</p> <p>b. If the fraudulent ID or impersonation is only discovered after the assessment, the learner's results for that assessment must be declared null and void.</p>  | Disqualification.   |
| 10. | Evidence or suspicion of copying, being provided assistance, writing an "open book" assessment, or having had access to the memorandum        | <p>a. Where the learner is found guilty, the results for that paper may be declared null and void.</p> <p>b. When the fault lies with 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 will be taken by the Provider.</p> | Disqualification.<br>Provider fine.                         |
| 11. | The handwriting of a different person appears on the scripts  | <p>a. The results 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. | Before the assessment date, the learner obtained information about the contents of the assessment   | <p>a. The learner may have obtained this information from another learner, tutor or any third party. The learner will be disqualified from the assessment.</p> <p>b. The party responsible for releasing the assessment contents will be fined or otherwise sanctioned by the ICB.</p>   | Disqualification.<br>Provider fine.                         |
| 13. | There are 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 are discovered in  | <p>a. If the notes are related to the subject being written, then that paper must be declared null and void, and</p>   | Disqualification.<br>Written warning.                       |

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|     | scripts during the marking process   | <p>the learner disqualified.</p> <p>b. If the unauthorised 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>  |   |
| 15. | The learner removed a script from assessment venue and submits it later  | a. The late script will not be accepted and the learner is disqualified from the assessment.  | Disqualification.   |
| 16. | The learner submits work that is not their own   | <p>a. The learner 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. | Learner commits an act of dishonesty   | a. Any act of dishonesty or action/activity that may result in the learner obtaining an unfair advantage, will result in the learner's results for that paper being declared null and void.   | Disqualification.   |
| 18. | Learner commits an act of 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.<br>Written warning.<br>Withdrawal of Invigilation center. |
| 19. | Question papers are leaked or stolen   | <p>a. All learners affected by the theft or leakage will have their results declared null and void.</p> <p>b. The Provider, Invigilator or other party responsible for leaking or losing the papers will be sanctioned by the ICB.</p>  | Disqualification.<br>Withdrawal of Invigilation center.                     |
| 20. | The Invigilator does not dispatch a batch of assessments within 24 hours of the last assessment  | <p>a. The Invigilator needs to supply reasons for the late dispatch and confirmed that the papers have not been tampered with.</p> <p>b. Scripts and Portfolios of Evidence may be returned unmarked.</p>   | Disqualification of learners.<br>Provider incurs penalty fee.               |
| 21. | An assessment script is lost or missing from an assessment group   | <p>a. The Invigilator needs to supply documented evidence that the script was submitted.</p> <p>b. Should the ICB not receive an assessment script/PoE from the Invigilator, as indicated on the Attendance Register, then the ICB will contact the Provider and/or learner and advise the Provider/learner of non-receipt of the assessment script.</p>            | Disqualification of learners.<br>Provider incurs penalty fee.               |
| 22. | Learner creates a disturbance, intimidates others, is drunk, disregards the arrangements and/or the reasonable instructions of the Invigilator | <p>a. The learner must be given a warning, and if the behavior or action persists, then the learner must be removed from the assessment venue.</p> <p>b. The learner loses the opportunity to write or to continue writing that specific assessment paper.</p> <p>c. Where the learner has commenced writing, the marks obtained will be declared null and void</p> | Disqualification.   |
| 23. | Non-adherence to the ICB's assessment policy   | <p>a. Any non-compliance may result in a learners or a group of learners' results being declared null and void, depending on the severity of the non-compliance.</p> <p>b. Any non-compliance by a Provider may result in a Provider being sanctioned.</p>  | Disqualification.<br>Provider incurs penalty fee.                           |

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| 24. | The learner receives/writes an assessment other than the subject they registered for | <ul style="list-style-type: none"> <li>a. The learner must ask for the correct subject question paper from the Invigilator.</li> <li>b. Where a learner submits an answer script for a subject not entered for, the marks obtained will be declared null and void.</li> </ul> | Disqualification. Provider incurs penalty fee. |
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## 10. THE ICB'S ACADEMIC BOARD (AB)

All suspected irregularities reported to the Academic Board (AB) will be investigated. The AB will review all the evidence and conduct an investigation and determine whether a hearing is required. After the evidence is reviewed and the hearing (if required) takes place, the findings of the AB will be communicated to the learner and the Provider. The learner/Provider may appeal the findings.

## 11. SUSPECTED IRREGULARITIES: PROCEDURES FOR ASSESSORS AND MODERATORS TO FOLLOW

Any assessment irregularities that are spotted by the assessors or moderators during the marking process must be dealt with as follows:

- 11.1. All suspected irregularities must immediately be reported to the Academic Board.
- 11.2. Answer scripts containing identified irregularities must be marked as usual. The word "IRREGULARITY" must be written in ink on the front cover.
- 11.3. These scripts, together with the assessor's/moderator's 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/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 to be valid, then the script is to be returned to the assessors for final processing. Results will then be released to the learner or Provider, and the ICB.

## 12. PROCEDURE FOR IRREGULARITY HEARINGS

If the Academic Board decides that a hearing should be held, these are the rules that must be followed:

- 12.1. The hearing must be lawful, reasonable, timely and procedurally fair. No rights of the individual should be infringed. It must be conducted openly and transparently.
- 12.2. The following procedure must be followed for all irregularity hearings:
  - 12.2.1. Procedures for hearings vary according to the circumstances and people involved.
  - 12.2.2. The learner and/or training Provider concerned must be notified about the alleged assessment irregularity in writing.
    - 12.2.2.1. The written notification must be forwarded either by registered post, email or delivered to a specific individual who acknowledges receipt of the notification.
    - 12.2.2.2. The written notification must state clearly that the hearing will not be delayed if the recipient does not reply.
    - 12.2.2.3. If a learner cannot be contacted, and there is documented evidence showing 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 given 10 working days (from receipt of the written notification) to respond to the allegations - either in person or in writing.
    - 12.2.2.5. Learners that do not want to attend the hearing may submit an admission of guilt. This must be in the form of an affidavit and must be received by the ICB 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 their parent/s or guardian.

**12.3.** Evidence presented at an investigation or hearing may be material evidence, written evidence, oral or other evidence.

12.3.1. All hearings must be recorded (in writing or electronically), and this record is to be kept on file.

12.3.2. If a learner is unhappy with the procedures or findings of the hearing, s/he may appeal the outcome within 14 days of receiving the findings of the 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

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#### ICB INVIGILATOR/PRIVATE INVIGILATOR

I hereby agree to perform the role and function of INVIGILATOR for ICB assessments. I agree to conduct ICB assessments in accordance with this policy and with 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: \_\_\_\_\_

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#### 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. We agree to conduct ICB assessments in accordance with this policy and with 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 2011.2016.v2

### **Section 2.1.1.:**

The Invigilator must compare the learners' 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 LETTER/PoE AND IDENTITY DOCUMENT IS NOT PRODUCED, OR IF THEY DO NOT MATCH.

### **Section 8:**

Suspected irregularities: Procedures for Invigilators to follow

### **Section 9.9: Action to be taken:**

- a. The learner will not be allowed to sit the assessment.
- b. If the fraudulent ID or impersonation is only discovered after the assessment, the learner's results for that assessment must be declared null and void.

### **Section 9.12:**

- b. The party responsible for releasing the assessment contents will be fined or otherwise sanctioned by the ICB.

### **Section 9.15:**

- b. The late script will not be accepted and the learner is disqualified from the assessment.

### **Section 9:**

Penalties in 9.20, 9.21, 9.23 and 9.24.