



Diploma Programme





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Academic honesty

**International Baccalaureate Organization**

Buenos Aires

Cardiff

Geneva

New York

Singapore

**Diploma Programme**  
**Academic honesty**

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International Baccalaureate Organization  
Peterson House, Malthouse Avenue, Cardiff Gate  
Cardiff, Wales GB CF23 8GL  
United Kingdom  
Phone: + 44 29 2054 7777  
Fax: + 44 29 2054 7778  
Web site: <http://www.ibo.org>

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Phone: +44 29 2054 7746  
Fax: +44 29 2054 7779  
E-mail: [sales@ibo.org](mailto:sales@ibo.org)

## IBO mission statement

The International Baccalaureate Organization aims to develop inquiring, knowledgeable and caring young people who help to create a better and more peaceful world through intercultural understanding and respect.

To this end the IBO works with schools, governments and international organizations to develop challenging programmes of international education and rigorous assessment.

These programmes encourage students across the world to become active, compassionate and lifelong learners who understand that other people, with their differences, can also be right.



# IB learner profile

The aim of all IB programmes is to develop internationally minded people who, recognizing their common humanity and shared guardianship of the planet, help to create a better and more peaceful world.

IB learners strive to be:

<b>Inquirers</b>	They develop their natural curiosity. They acquire the skills necessary to conduct inquiry and research and show independence in learning. They actively enjoy learning and this love of learning will be sustained throughout their lives.
<b>Knowledgeable</b>	They explore concepts, ideas and issues that have local and global significance. In so doing, they acquire in-depth knowledge and develop understanding across a broad and balanced range of disciplines.
<b>Thinkers</b>	They exercise initiative in applying thinking skills critically and creatively to recognize and approach complex problems, and make reasoned, ethical decisions.
<b>Communicators</b>	They understand and express ideas and information confidently and creatively in more than one language and in a variety of modes of communication. They work effectively and willingly in collaboration with others.
<b>Principled</b>	They act with integrity and honesty, with a strong sense of fairness, justice and respect for the dignity of the individual, groups and communities. They take responsibility for their own actions and the consequences that accompany them.
<b>Open-minded</b>	They understand and appreciate their own cultures and personal histories, and are open to the perspectives, values and traditions of other individuals and communities. They are accustomed to seeking and evaluating a range of points of view, and are willing to grow from the experience.
<b>Caring</b>	They show empathy, compassion and respect towards the needs and feelings of others. They have a personal commitment to service, and act to make a positive difference to the lives of others and to the environment.
<b>Risk-takers</b>	They approach unfamiliar situations and uncertainty with courage and forethought, and have the independence of spirit to explore new roles, ideas and strategies. They are brave and articulate in defending their beliefs.
<b>Balanced</b>	They understand the importance of intellectual, physical and emotional balance to achieve personal well-being for themselves and others.
<b>Reflective</b>	They give thoughtful consideration to their own learning and experience. They are able to assess and understand their strengths and limitations in order to support their learning and personal development.





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## Introduction

This publication is for IB World Schools that offer the International Baccalaureate Diploma Programme. It is the expectation of the International Baccalaureate Organization (IBO) that each head of school will make this publication available to the school's Diploma Programme coordinator (henceforth "coordinator"). It is also for use by IBO staff involved with investigations into suspected malpractice and members of the IBO's final award committee who review each case and uphold or dismiss an allegation of malpractice.

In cases where a diploma or certificate candidate does not show academic honesty, the actions of that candidate may constitute malpractice, which is a breach of the *General regulations: Diploma Programme* (henceforth "Regulations"). Although malpractice takes many forms, plagiarism is certainly the most prevalent form. Accordingly, the main focus of this publication is on how to prevent and detect plagiarism.

This publication aims to:

- help define academic honesty and malpractice in the context of the Diploma Programme
- establish the roles and responsibilities of the IBO, heads of school, teachers, candidates and examiners in preventing and detecting malpractice
- offer advice to schools on the prevention and detection of malpractice
- describe the procedure followed by the IBO when investigating instances of suspected malpractice and the role of the school in supporting an investigation
- describe the role of the final award committee and the penalties it applies to candidates found guilty of malpractice.

Throughout the publication reference is made to "the head of school", the assumption being that the head of school normally has overall responsibility for school policy and for resolving significant issues that arise within the school. In practice, the head of school may delegate tasks, such as establishing a school policy on academic honesty or investigating a case of alleged malpractice, to the coordinator or other senior colleague.

The policy and guidance within this publication apply to all candidates for Diploma Programme examinations, including certificate candidates.

## Understanding academic honesty and malpractice

### 1 Academic honesty

- 1.1 Academic honesty must be seen as a set of values and skills that promote personal integrity and good practice in teaching, learning and assessment. It is influenced and shaped by a variety of factors including peer pressure, culture, parental expectations, role modelling and taught skills. Although it is probably easier to explain to candidates what constitutes academic **dishonesty**, with direct reference to plagiarism, collusion and cheating in examinations, whenever possible the topic must be treated in a positive way, stressing the benefits of properly conducted academic research and a respect for the integrity of all forms of assessment for the Diploma Programme.
- 1.2 All Diploma Programme candidates must understand the basic meaning and significance of concepts that relate to academic honesty, especially authenticity and intellectual property. Ensuring that candidates understand and respect academic honesty should not be confined to original authorship and ownership of creative material: academic honesty includes, for example, proper conduct in relation to the written examinations.
- 1.3 The concept of intellectual property is potentially a difficult one for candidates to understand because there are many different forms of intellectual property rights, such as patents, registered designs, trademarks, moral rights and copyright. Candidates must at least be aware that forms of intellectual and creative expression (for example, works of literature, art or music) must be respected and are normally protected by national and international law. By implementing measures to prevent plagiarism, schools are helping to combat illegal out-of-school activities (for example, illegal music downloads, peer-to-peer or P2P file sharing) for which candidates may face legal proceedings.
- 1.4 An authentic piece of work is one that is based on the candidate's individual and original ideas with the ideas and work of others fully acknowledged. Therefore all assignments, written or oral, completed by a candidate for assessment must wholly and authentically use that candidate's own language and expression. Where sources are used or referred to, whether in the form of direct quotation or paraphrase, such sources must be fully and appropriately acknowledged.
- 1.5 Although the Regulations clearly define plagiarism as the representation of the ideas or work of another person as the candidate's own, this definition alone does not provide candidates with sufficient information or guidance on what constitutes plagiarism and how it can be avoided. Candidates must receive guidance on when and how to include acknowledgments in their work. Similarly, the practice of paraphrasing is a skill that must be taught so that candidates do not simply copy a passage, substitute a few words with their own and then regard this as their own authentic work. When using the words of another person it must become habitual practice for a candidate to use quotation marks, indentation or some other accepted means of indicating that the wording is not their own. Furthermore, the source of the quotation (or paraphrased text) must be clearly identified along with the quotation and not reside in the bibliography alone. Using the words and ideas of another person to support one's arguments is a fundamental part of any academic endeavour, and how to integrate these words and ideas with one's own is an important skill that must be taught.

## 2 Malpractice

- 2.1 The Regulations define malpractice as behaviour that results in, or may result in, the candidate or any other candidate gaining an unfair advantage in one or more assessment component. Malpractice includes:
- plagiarism: this is defined as the representation of the ideas or work of another person as the candidate's own
  - collusion: this is defined as supporting malpractice by another candidate, as in allowing one's work to be copied or submitted for assessment by another
  - duplication of work: this is defined as the presentation of the same work for different assessment components and/or diploma requirements
  - any other behaviour that gains an unfair advantage for a candidate or that affects the results of another candidate (for example, taking unauthorized material into an examination room, misconduct during an examination, falsifying a CAS record).
- 2.2 Many candidates believe that because the Internet is in the public domain and largely uncontrolled, information can be taken from web sites without the need for acknowledgment. Candidates must record the addresses of all web sites from which they obtain information during their research, including the date when each web site was accessed. The uniform (or universal) resource locator (URL) constitutes the web site address for this purpose. (Simply stating the search engine that was used to find the web site is not acceptable.) This includes the copying of maps, photographs, illustrations, data, graphs and so on. For example, to cut and paste a graph from a web site without acknowledging its source constitutes plagiarism. CD-Roms, DVDs, e-mail messages and any other electronic media must be treated in the same way as the Internet, books and journals.
- 2.3 The issue of plagiarism is not confined to groups 1 to 5 of the Diploma Programme. In general, copying works of art, whether music, film, dance, theatre arts or visual arts, also constitutes plagiarism. There are circumstances where the creative use of part of the work of another artist is acceptable, but the original source must always be acknowledged. Candidates must understand that passing off the work of another person as their own is not acceptable and constitutes malpractice.
- 2.4 Copying text is not always a deliberate attempt by a candidate to present the ideas or work of another person as their own. In fact, in the experience of the final award committee it is apparent that many candidates are not aware of when or how to acknowledge sources. Occasionally, a candidate may copy one or two sentences from a book, journal or web site without showing it is a quotation, but indicating its source in a footnote or the bibliography. Although each case requires a separate judgment, in general such cases are the result of negligence or a lack of awareness on the part of the candidate and do not warrant an allegation of malpractice. These cases may attract the penalty applied to an academic infringement, and not malpractice. See sections 12.3 and 12.4 for further details.
- 2.5 For most assessment components candidates are expected to work independently with support from their subject teacher (or supervisor in the case of extended essays). However, there are occasions when collaboration with other candidates is permitted or even actively encouraged, for example, in the requirements for internal assessment. Nevertheless, the final work must be produced independently, despite the fact that it may be based on similar data. This means that the abstract, introduction, content and conclusion or summary of a piece of work must be written in each candidate's own words and cannot therefore be the same as another candidate's. If, for example, two or more candidates have exactly the same introduction to an assignment, the final award committee will construe this as collusion, and not collaboration. It is essential that both teachers and candidates are aware of the distinction between collaboration and collusion. Teachers must pay particular attention to this important distinction to prevent allegations of collusion against their candidates.

- 2.6 The presentation of the same work for different assessment components and/or diploma requirements is a duplication of work and therefore constitutes malpractice. If, for example, a candidate submits the same or a very similar piece of work for the in-depth study in history internal assessment and for an extended essay in history, this would be viewed as malpractice. However, it is perfectly acceptable for a candidate to study one aspect of a topic for internal assessment and another aspect of the same topic for an extended essay.
- 2.7 Malpractice most commonly involves collusion or plagiarism. However, there are other ways in which a candidate may commit malpractice and thereby breach the Regulations. The following examples of malpractice do not constitute an exhaustive list and refer mainly to the written examinations:
- taking unauthorized material into an examination room (for example, an electronic device other than a permitted calculator, own rough paper, notes, a mobile phone) regardless of whether this material is used or potentially contains information pertinent to the examination
  - misconduct during an examination, including any attempt to disrupt the examination or distract another candidate
  - exchanging or in any way supporting, or attempting to support, the passing on of information that is related to the examination
  - copying the work of another candidate
  - failing to comply with the instructions of the invigilator or other member of the school's staff responsible for the conduct of the examination
  - impersonating another candidate
  - stealing examination papers
  - using an unauthorized calculator during an examination
  - disclosing or discussing the content of an examination paper with a person outside the immediate school community within 24 hours of the end of the examination
  - fabricating data for an assignment.
- 2.8 For all cases of malpractice in relation to the examinations, the coordinator must send a report to the coordinator help desk ([help@ibo.org](mailto:help@ibo.org)) at the International Baccalaureate Curriculum and Assessment Centre (IBCA) in Cardiff, Wales. The report must reach the coordinator help desk within ten days of the examination in which the incident occurred.
- 2.9 Breaches of regulations are not confined to candidates: improper conduct by a coordinator or teacher may be brought to the attention of the final award committee. The following are examples of unacceptable actions that will be investigated by the IBO:
- the unauthorized rescheduling of an examination
  - failing to keep the examination papers secure prior to an examination
  - opening examination paper packets prior to an examination
  - providing a candidate with undue assistance in the production of any work (whether written or oral) that contributes to the assessment requirements of the Diploma Programme
  - leaving candidates unsupervised during an examination
  - allowing additional time in examinations without authorization from the IBO
  - releasing an examination paper, or otherwise disclosing information about the content of a paper, within 24 hours of the end of the examination.

## Maintaining academic honesty

### 3 Roles and responsibilities

3.1 The role of the IBO is to:

- provide the regulations and instructions that govern the conduct of each examination session
- offer guidance to schools on what constitutes malpractice and how it can be prevented
- investigate cases of alleged malpractice, in liaison with the school concerned
- review all available evidence collected during an investigation into malpractice and decide whether to dismiss the allegation or uphold it
- make a final decision on cases of suspected malpractice and notify the head of school of the decision.

3.2 During each examination session the IBO takes a random sample of candidates' work and submits it to a web-based plagiarism prevention system. However, the fact that the IBO is doing this does not allow schools to abrogate their responsibility for ensuring that work submitted is authentic.

3.3 The **head of school**, or his or her nominee, must ensure that all candidates:

- understand what constitutes academic honesty and an authentic piece of work
- understand what constitutes malpractice, particularly plagiarism and collusion
- receive guidance on the skills of academic writing and acknowledging sources
- know the consequences of being found guilty of malpractice.

It is also the responsibility of the head of school to establish a school policy that promotes good academic practice and a school culture that actively encourages academic honesty. It is assumed that part of this responsibility will be delegated to the coordinator and teachers.

The school is the IBO's first line of defence against malpractice and is therefore expected to support the IBO fully in the prevention, detection and investigation of malpractice. In the event of a candidate being investigated for malpractice, the school has additional responsibilities: see section 7.

3.4 It is the responsibility of each **teacher** to confirm that, to the best of his or her knowledge, all candidates' work accepted or submitted for assessment is the authentic work of each candidate. This includes all work for internal assessment where teachers' marks are entered on the IB information system (IBIS): the secure web-based service for coordinators. When a school has implemented all prevention measures, teachers are expected to detect any plagiarism. Teachers are also expected to support the school's policy on good academic practice and provide candidates with advice whenever necessary.

3.5 The **candidate** is ultimately responsible for ensuring that all work submitted for assessment is authentic, with the work or ideas of others fully and correctly acknowledged. Candidates are expected to comply with all internal school deadlines: this is for their own benefit and may allow time for revising work that is of doubtful authorship before the submission of the final version.

3.6 The principal responsibility of an **examiner** is to mark (or moderate) the work of candidates against prescribed assessment criteria. It is not the role of examiners to search for plagiarism, collusion or any other form of malpractice. However, examiners are experienced educational practitioners who are familiar with the texts and web sites that deal with their subject area. Because examiners are well placed to identify plagiarism they are expected to be vigilant and report to the IBO any cases where there is evidence to support an allegation of malpractice. Senior examiners may be asked to write reports on work submitted for assessment that shows evidence of malpractice.

## 4 Expectations of schools

### School policy

- 4.1 It is an IBO requirement that every IB World School that offers the Diploma Programme has a policy to promote academic honesty. This policy must be shared with candidates before they begin the Diploma Programme and be followed by reminders throughout the two years of the programme. The way in which this policy is shared with candidates is left to the discretion of the head of school. However, it is recommended that candidates receive formal tuition, a written copy of the policy and are made aware that the coordinator and teachers are available to offer further advice and guidance. Schools have a duty to provide all candidates and their legal guardians with a copy of the Regulations upon enrollment for the Diploma Programme. The candidates' attention must be drawn to the provisions therein regulating malpractice and its consequences. It is expected that the coordinator will play a central role in this process.
- 4.2 All subject areas must contribute to the development of a policy on academic honesty so that candidates gain a clear idea of what constitutes plagiarism in a variety of disciplines. The need to acknowledge the source of data, computer programs, photographs, diagrams, illustrations, maps and so on must also be made clear to candidates by their subject teachers.
- 4.3 The role and expertise of the school librarian must not be neglected. Librarians are usually fully aware of issues associated with plagiarism and copyright through their familiarity with traditional library skills. The school librarian may be able to provide research guidelines that emphasize reading and writing skills, good academic practice and the need to provide well-written work that does not rely heavily on material downloaded from the Internet. Librarians traditionally maintain rigour in the field of academic research. Locating, evaluating and using information effectively are skills characteristic of a librarian's profession in addition to those offered by teachers.
- 4.4 A school policy on academic honesty must at least include:
- advice on what constitutes academic dishonesty, intellectual property, plagiarism and authentic authorship
  - examples of conventions for citing and acknowledging original authorship
  - guidance on the distinction between legitimate collaboration and unacceptable collusion or plagiarism
  - information on what action will be taken by the school and the IBO if a candidate is found guilty of malpractice
  - an extract of the provisions of the Regulations relating to malpractice.
- Schools are advised to include within their policy a requirement for every candidate studying the Diploma Programme, regardless of their registration category, to sign a declaration stating that all work they submit for assessment will be their own authentic work. This would effectively cover all class assignments, homework assignments and work undertaken for internal assessment. However, this does not negate the need to sign the candidate declaration on coversheets submitted with work for assessment or moderation.
- 4.5 It is important that the policy is not confined to or does not emphasize the penalties that will be applied to candidates who neglect to acknowledge their sources. The policy must be a means of promoting good practice: a practical reference that is used and perceived in a positive way. Remember to emphasize prevention, not detection and penalties.
- 4.6 The policy may refer to the existence of Internet sites that can be used to detect plagiarized text. In fact, candidates must be warned that the IBO randomly checks candidates' work for plagiarism using a web-based plagiarism prevention system. An additional deterrent is the vigilance of examiners who are adept at identifying text and material that is not the authentic work of a candidate.



- 4.7 Plagiarism must be viewed as going well beyond a mere breaking of rules and into an area of far greater seriousness. Plagiarism must not be seen as simply an item in a long list of school rules in a handbook. It must be viewed as a serious academic offence with a community attitude that shows no tolerance and imposes severe penalties when it is discovered.
- 4.8 In addition to subject teachers and the school librarian, the support of candidates' parents should be enlisted to promote good academic practice and consistent standards. In fact, for schools where the candidature reflects a variety of cultural backgrounds it is important to inform parents about the standards the school is trying to uphold. Parental understanding and cooperation is an important factor in encouraging academic honesty and should not be overlooked.
- 4.9 As conventions differ according to the discipline and geographic region, it is not possible to give closely defined rules for attribution, except to say that whatever accepted convention is chosen by a school or individual candidate it must be applied consistently. One suggestion is to use the format provided by the Modern Language Association (MLA), which produces a handbook for writers of research papers, now in its sixth edition (2003). The MLA maintains a web site at <http://www.mla.org>.

### Teaching support

- 4.10 Teachers (including extended essay supervisors) must provide candidates with a convention for acknowledging all sources. To ensure there is an organized and consistent approach across subjects, this may be done in consultation with the coordinator. It is equally important to ensure that teachers themselves are fully aware of such conventions, and are actively using them when providing candidates with reference material. In fact, all teachers for the Diploma Programme must epitomize good academic practice and act as role models for the candidates.
- 4.11 Teachers are advised to provide candidates with examples of conventions for acknowledging sources. The examples must include a variety of sources (CD-Roms, photographs, illustrations, data) in addition to journals, books and web sites, and must include how to acknowledge the source of an idea that is not the candidate's own. For example, a candidate could provide a footnote or endnote in the following manner: "The basis of this idea was originally expressed by a fellow student during a theory of knowledge seminar."
- 4.12 Candidates and teachers must be aware that the requirement to acknowledge sources extends beyond text taken from the Internet, CD-Roms, books, magazines and journals. The concepts of intellectual property and academic honesty include, for example, the use of footnotes or endnotes to acknowledge the source of an idea if that idea emerged as a result of discussion with, or listening to, a fellow student, a teacher or any other person.
- 4.13 Schools are encouraged to make use of online services that help prevent or in various ways combat the threat of plagiarism. In addition to web-based systems such as <http://turnitin.com>, there are now thoroughly resourced online libraries of books and journals (for example, <http://www.questia.com>). The software associated with some of these libraries enables candidates (and teachers) to keep notes that are properly referenced. Resources of this kind help to prevent candidates from forgetting to note the source of information.
- 4.14 Paraphrasing is the rendition of another person's words presented in a new style and integrated grammatically into the writing. If done correctly, paraphrasing is a legitimate way to use a source. However, because paraphrasing uses the ideas of another person, it is still necessary to acknowledge the source. Candidates must be taught this skill; they cannot be expected to understand the difference between what is legitimate and what is not legitimate paraphrasing without receiving guidance. If paraphrasing is not done correctly it will be treated as plagiarism.
- 4.15 Teachers must help candidates by structuring assignments to avoid generalized "reports" involving little more than information gathering. Instead, teachers must give specific guidelines that encourage candidates to develop their own ideas through problem solving, comparison, precise hypothesis, analysis and the like.

- 4.16 Teachers are encouraged to provide a formative assessment structure for investigative reports that includes planning and the evaluation of sources, and reflects the need for candidates' work to be authentic. The formative assessment structure might include:
- a carefully developed thesis
  - the evaluation of sources
  - planning for an investigation
  - personal critique or analysis
  - evidence of higher thinking in a proposal of alternative solutions to the issue under discussion
  - in-class research assignments.
- 4.17 When marking regular class and homework assignments that are not being submitted to the IBO for assessment, teachers should take into account each candidate's use and acknowledgment of sources. A portion of the marks awarded could be available for assessing the degree to which a candidate has correctly acknowledged all sources. Reinforcing good academic practice in this and other ways must routinely extend to all subjects and requirements within the Diploma Programme hexagon, including mathematics and science.
- 4.18 At all times the advice to candidates must be to acknowledge as honestly and accurately as possible the ideas and work of others, even when the source cannot be stated with absolute accuracy.

## **5 The detection of plagiarism**

- 5.1 As mentioned in paragraph 3.5, the candidate is ultimately responsible for ensuring that all work submitted for assessment is authentic, with the work or ideas of others fully and correctly acknowledged. Candidates are expected to review their own work before submission for assessment to identify any passages, data, graphs, photographs, computer programs and so on that still require acknowledgment.
- 5.2 When reading candidates' work teachers must be vigilant for obvious changes in a candidate's style of writing. Equally significant is a style that seems too mature, too error free and perhaps more characteristic of an experienced academic than a secondary school student. Over the two-year period of the Diploma Programme teachers will become very familiar with the style and quality of each candidate's work in their teaching groups. It is therefore the subject teachers who are in the best position to identify work that may not be the authentic work of a candidate. The analysis of texts or documents at a sophisticated level to answer questions about, among other things, text alteration and authorship, is known as forensic linguistics. Information about the techniques used in forensic linguistics is readily available on the Internet.
- 5.3 Although in most cases of plagiarism that come to the attention of the IBO the candidate has copied passages from a web site, there is still plagiarism from books and journals, in addition to the illicit use of photographs, graphs, data and computer programs from a variety of sources. In most cases it is likely that the teacher is familiar with the books being used by candidates; they may be standard textbooks for the subject, or books that are readily available in the school library. The teacher must be vigilant for familiar passages and, if necessary, check that such passages have not been copied from a textbook. In the case of supervising a candidate during the writing of his or her extended essay, the supervisor, if suspicious, may quiz the candidate on the content of the essay to determine whether the work is in fact that of the candidate.

- 5.4 With the recent growth of the Internet and corresponding increase in its use, the abuse of electronic media is now prevalent within the academic community. Aside from the immense number of legitimate websites, there are an increasing number of sites that actively encourage students to plagiarize and even purchase essays. Little can be done to prevent the emergence of these sites, but the Internet can also be used for detecting academic dishonesty. Several of the more efficient search engines can be used to detect the source of passages that have been plagiarized. Also, there are several websites that offer a useful service in detecting plagiarism from the Internet, for example, <http://turnitin.com>.

## 6 Authenticating candidates' work

- 6.1 It is the responsibility of Diploma Programme teachers to support candidates in the preparation of their work for assessment and to ensure that all candidates' work complies with the requirements of the relevant subject guide. Therefore, teachers (or supervisors in the case of extended essays) are in the best position to judge whether a candidate's work is authentic. Ongoing support and guidance will help with the early detection of unintentional plagiarism and will dissuade candidates from deliberate plagiarism because they know their work is regularly subject to scrutiny. However, what is realistic and what can be achieved within the usual constraints of time and workload must be left to the discretion of teachers and the coordinator. Ultimately, the candidates are responsible for ensuring that the final version of any work is authentic. Candidates themselves must bear the consequences if they submit any work for assessment that is not their own, regardless of whether the plagiarism was unintentional or deliberate. The same principle applies to collusion.
- 6.2 If the coordinator and/or a teacher has reason to believe that part or the whole of a candidate's draft work submitted for discussion prior to final submission might be deemed to be in violation of the principles of academic honesty and constitutes a case of malpractice, they must draw the candidate's attention to this risk and her/his duty to respect the policy and requirements of academic honesty.
- 6.3 With effect from the May 2008 examination session, each candidate must sign a coversheet for all externally assessed components (except examination scripts) and all internal assessment to confirm that his or her work is authentic and to confirm that the work being submitted for assessment constitutes the final version of the work. See section 4.4 for further details.
- 6.4 Once a candidate has officially submitted the final version of his or her work to a teacher (or the coordinator) for external or internal assessment, together with the signed coversheet, it cannot be retracted. Any suspicion of malpractice that arises thereafter must be reported to the coordinator help desk at IBCA for investigation. "Officially submitted" means submission to a teacher (or the coordinator) by the candidate, and not submission to an IB examiner by the school.
- 6.5 To avoid any ambiguity as to when the final submission took place, schools must not only ensure that the coversheets are duly signed and dated but must also ensure that the coordinator or teacher provides candidates with a timetable clearly indicating the deadlines for submission of work. In addition, schools are strongly advised to implement a policy that requires every candidate at the start of the Diploma Programme to declare that all versions of works they prepare will be their own authentic work. This requirement must apply to all candidates, including certificate and retake candidates. See section 4.4 for further details.
- 6.6 Teachers (or supervisors in the case of extended essays) are also required to sign the coversheet for work that is being submitted to an examiner for assessment or for the purpose of moderation in the case of internal assessment. (This does not apply to examination scripts.) The teacher signs to the effect that, to the best of his or her knowledge, the work is the authentic work of the candidate. It is not acceptable to delete or alter this declaration, or to submit work for which the teacher has not signed the declaration because he or she believes the work may not be authentic. The coordinator must report the case to the coordinator help desk and provide evidence that substantiates the allegation of malpractice.

## Investigating malpractice

### 7 The procedure for an investigation

- 7.1 The following circumstances are those that most commonly give rise to an investigation.
- A coordinator (upon being informed by a teacher) informs IBCA that they suspect that a final work submitted for assessment may be affected by malpractice.
  - A coordinator informs IBCA that malpractice may have taken place during an assessment.
  - An examiner suspects malpractice and provides evidence to justify his or her suspicion.
  - An IBO member of staff identifies examination material that may not be the authentic work of a candidate and provides evidence to justify his or her suspicion.

- 7.2 If the IBO initiates an investigation into malpractice it will do so immediately after the evidence of malpractice is brought to the attention of the coordinator help desk at IBCA. The head of examinations administration will inform the coordinator, normally by e-mail, that a candidate (or candidates) is being investigated for possible malpractice. It is a requirement that the coordinator acknowledges receipt of this e-mail and immediately informs the head of school that a candidate (or candidates) is suspected of malpractice.

- 7.3 For all cases of malpractice by a candidate the coordinator will be asked to provide IBCA with a report after he or she has conducted an investigation. In the case of suspected plagiarism the coordinator's report, which must be prepared and handled in a manner which respects the needs of confidentiality (such as referring to a candidate's registration number rather than her/his name), will normally include:

- a statement from the teacher for the subject concerned (or supervisor in the case of an extended essay)
- the coordinator's own statement
- a statement from the candidate that directly addresses the allegation that his or her work is not authentic
- a summary of an interview with the candidate about the allegation of plagiarism.

The statement from the candidate's teacher (or supervisor) must include information on:

- the guidance given to all candidates on how to acknowledge sources, avoid collusion and so on (as appropriate to the nature of the case) in the subject and component concerned
- the nature and extent of supervision given to the candidate (or candidates) on the work under investigation
- the procedure followed for verifying that, to the best of his or her knowledge, candidates' work accepted or submitted for assessment in the subject and component concerned is authentic.

The statement from the coordinator must include information on:

- the guidance given to all Diploma Programme candidates on how to acknowledge sources, avoid collusion, and so on
- the circumstances of the case, including details of any mitigating circumstances
- an opinion on the allegation of malpractice against the candidate (or candidates).

- 7.4 It is essential that the investigation and subsequent reporting to IBCA are undertaken without delay; otherwise a decision on the case by the final award committee will not be given until after the issue of results. However, to avoid distracting a candidate from examination preparation, it is acceptable to delay raising the issue with the candidate until after the candidate's last written examination. To protect the candidate's personal rights the investigation must be discreet and all information relating to the investigation must remain confidential.
- 7.5 It is normal practice to interview the candidate, with a relative or friend in attendance as an adviser, witness or observer. The candidate must be shown the evidence and be invited to present an explanation or defence. Accusatory statements about the candidate, whether written or verbal, must be avoided. With the candidate's permission, a transcript of the interview may be taken and submitted to IBCA as part of the coordinator's report on the investigation. The candidate must also be given the opportunity to provide a written statement.
- 7.6 The content of a coordinator's report will depend on the nature of the alleged malpractice. In addition to the requirements listed in paragraph 7.3, the coordinator's report may also include a seating plan (for malpractice in examinations), rough notes produced by the candidate for the work concerned or early drafts of the candidate's work. If appropriate, a coordinator may be asked to submit examples of the candidate's coursework for comparison with the work under investigation.
- 7.7 If a statement from a candidate is not included with the coordinator's report and no evidence of an interview is provided, the coordinator will be asked to confirm in writing that the candidate has been given the opportunity to be heard and to provide a statement. IBCA will not resolve a case of suspected malpractice until either this confirmation or the statement itself has been received.
- 7.8 IBCA will normally make available to a school all evidence relating to a case of possible malpractice. Evidence may be withheld to protect the identity of an informant or if the disclosure of that evidence compromises the privacy of another person.
- 7.9 The IBO reserves the right to withhold the results of a candidate or group of candidates until an investigation is completed.
- 7.10 On rare occasions possible malpractice by a candidate is brought to the attention of the IBO after the issue of results. In compliance with the Regulations, that state that an IB diploma or a certificate may be withdrawn from a candidate at any time if malpractice is subsequently established, the IBO will still initiate an investigation. Although the candidate may no longer attend the school, the IBO will seek advice and support from the school in resolving a late malpractice case.

## **8 The rights of the candidate**

- 8.1 When students enroll for the Diploma Programme, the school must provide each candidate and their legal guardian with a copy of the *General regulations: Diploma Programme*. This applies to all candidates, including certificate candidates.
- 8.2 If a candidate is under investigation for possible malpractice, the coordinator must inform the candidate. The decision of whether or not to inform the candidate's legal guardians of the allegation and involve them in the investigation is left to the discretion of the school, bearing in mind any relevant circumstances such as whether the candidate has reached the age of legal majority.
- 8.3 The candidate and his or her legal guardians have a right to see evidence, statements, reports and correspondence about the case. Any decision to withhold such information rests entirely with the head of school or coordinator. Evidence may be withheld to protect the identity of an informant.

- 8.4 It is the policy of the IBO that any candidate being investigated for malpractice is given the opportunity to be heard and to submit a written defence to IBCA. The school has no right to prevent this process, to edit or unduly influence the candidate's statement. The candidate is expected to make the content of the statement available to the coordinator, but may request that the statement remain confidential to the IBO.
- 8.5 The candidate must be given sufficient time to prepare a response to the allegation. IBCA must be contacted for advice if the candidate may not be able to meet the deadline imposed.

## **9 Investigating improper conduct by a coordinator or teacher**

- 9.1 In consultation with the head of school, the IBO will conduct an investigation into an alleged breach of regulations by a coordinator or teacher with the utmost discretion. The purpose of an investigation will be to establish whether:
- the coordinator or teacher has breached regulations or otherwise compromised the security or integrity of assessment for the Diploma Programme
  - the results of any candidate (or candidates) have been affected.
- 9.2 The head of school will be expected to produce a report on the situation following an internal investigation, during which the coordinator or teacher will be given the opportunity to be heard.
- 9.3 The final award committee will consider all cases of alleged improper conduct by a coordinator or teacher and take whatever decisions and/or action necessary if examination results have been affected.
- 9.4 Where the final award committee establishes a case of improper conduct, the academic director or assessment director (as appropriate) will write to the head of school to express the committee's concern for the integrity of the Diploma Programme. The committee is not obliged to recommend any particular course of action with regard to the coordinator or teacher. However, the letter will indicate that unless appropriate action is taken by the head of school to prevent a recurrence, the director general may review the school's authorization to offer the Diploma Programme. The letter will be copied to the director general and the appropriate regional director. Furthermore, if the improper conduct of the coordinator or teacher has been taken advantage of by certain candidates, the case will be investigated as a case of malpractice on the part of those candidates.

## **10 The role of a grade award meeting**

- 10.1 In preparation for the meeting of the final award committee, a case of suspected malpractice may be referred to the appropriate grade award meeting for a recommendation from the chief examiner, chief assessor or examiner responsible (henceforth "senior examiner"), as appropriate to the subject. A case is normally referred to a grade award meeting when subject expertise is required. The senior examiner will be asked to review the work and recommend whether the allegation must be upheld or dismissed.
- 10.2 In cases of suspected collusion or plagiarism during an examination, the senior examiner will be asked to review candidates' scripts and consider whether the candidates' similar or identical answers are, for example:
- a coincidence
  - a result of misinterpreting the information or questions in the examination paper
  - the result of a particular technique taught by their teacher
  - so unusual that they can only be accounted for by collusion, plagiarism or some other form of malpractice.

In the case of a candidate who has produced a correct answer without showing any working or method of achieving the answer, the senior examiner will consider how likely this is without malpractice in view of the candidate's performance on other parts of the paper and in other papers for the subject and level.

- 10.3 In a case of suspected malpractice where the senior examiner finds no grounds for establishing malpractice, the recommendation of the senior examiner will be accepted, resulting in no further action. The case will not be presented to the final award committee. Where grounds for establishing malpractice are identified, the case will then be presented to the final award committee.
- 10.4 In cases where the allegation of malpractice is supported by the senior examiner, he or she submits to the final award committee:
- the work under suspicion
  - evidence to support the allegation of malpractice
  - a written report on the case with a recommendation on the action that should be taken by the final award committee.

## 11 The role of the final award committee

- 11.1 Cases of suspected malpractice will be presented to the final award committee. After reviewing all evidence collected during the investigation, the committee will decide with full discretion whether to dismiss the allegation, uphold it, or ask for further investigations to be made. If the final award committee deems evidence of malpractice insufficient, the allegation will be dismissed and a grade will be awarded in the normal way. The decision will be that of the majority of the members of the final award committee.
- 11.2 In reaching a decision on each case of suspected malpractice, the chair of the final award committee will ensure that:
- each voting member of the committee is given the opportunity to present his or her views on the case
  - all evidence is reviewed in an objective manner before a decision is reached on the guilt or innocence of the candidate (or candidates)
  - discussion is coordinated, impartial and relevant to the case
  - a clear majority decision is reached regarding the action to be taken.
- 11.3 Any member of the final award committee who has a personal interest in a case, and is therefore not independent from the case, must declare that interest and not take part in any discussion or voting. The chair will ask the colleague to leave the meeting while the committee discusses the case.
- 11.4 Where appropriate, in reaching a decision on whether a candidate is guilty of malpractice the committee will take into consideration any similar cases that may have set a precedent for a case of its kind. Nevertheless, each case of suspected malpractice will be judged on its own merit, taking into account all the evidence and information that is available about the case.
- 11.5 If the investigation of a case is incomplete, or the committee requires additional information, the committee will make a provisional internal decision on the outcome of the case pending further investigation.
- 11.6 If a case cannot be resolved during the meeting of the final award committee, no result will be issued for the candidate (or candidates) in the subject under investigation until all inquiries are complete and a final decision has been reached. This includes any candidate involved in the case.

- 11.7 No final decision regarding the guilt of a candidate accused of malpractice will normally be reached unless a statement from that candidate has been received and considered by the committee. In cases where a candidate has not been heard and produced a statement, the coordinator must state in writing that the candidate declined the opportunity of being heard and of producing a statement.

## 12 Offences and their penalty

- 12.1 Penalties are imposed on a candidate found guilty of malpractice in order to:
- ensure that the candidate does not gain an unfair advantage
  - maintain the integrity of the examination session by excluding those candidates who have abused the system
  - deter other candidates from taking the same action.
- 12.2 The committee will not take into account the consequences of imposing a penalty; the penalty will be imposed according to the nature of the offence. However, the committee will take into consideration all the information presented by teachers and the coordinator in their statements on the case. This information may include mitigating circumstances.
- 12.3 There can be instances where work submitted by a candidate for assessment contravenes the standard academic practice of clearly acknowledging all ideas and words of other persons without the candidate having made a deliberate attempt to gain an unfair advantage (for example, where a candidate has not used some means of indicating a quotation, but has cited the source of the text in the bibliography or in a footnote). The final award committee may designate a case of this type an academic infringement and not malpractice.
- 12.4 If the final award committee decides that an academic infringement has been established, no marks will be awarded for the component or part(s) of the component. The candidate will still be eligible for a grade in the subject or diploma requirement concerned. No further penalty will be imposed and the case will not be recorded as malpractice. In such a case, the decision regarding academic infringement will be notified in accordance with 13.1 below.
- 12.5 If the final award committee decides that a case of malpractice has been established, no grade will be awarded in the subject concerned. No diploma will be awarded to the candidate, but a certificate will be awarded for other subjects in which no malpractice has occurred. The candidate will be permitted to register for future examinations at least one year after the session in which malpractice was established.
- 12.6 If a candidate is found guilty of malpractice in the production of one (or more) of several assignments required for a component, the candidate is not eligible for a mark based on his or her performance in the remaining assignments for the component: no grade will be awarded for the subject. For example, the internal assessment requirement for a subject may require a portfolio of four separate assignments. If a candidate is found to have plagiarized all or part of one assignment, a mark for his or her internal assessment will not be based on the remaining three assignments: no grade will be awarded for the subject.
- 12.7 If a case of malpractice is very serious, either because of its nature or because the candidate has already been found guilty of malpractice in a previous session, the final award committee is entitled to decide that the candidate will not be permitted to register for examinations in any future session.
- 12.8 An IB diploma, or a certificate, may be withdrawn from a candidate at any time if malpractice is subsequently established.
- 12.9 Although a case may not warrant a penalty against one or more candidates, it may be appropriate for a letter to be sent to the head of school on behalf of the final award committee insisting that greater care be taken to avoid a similar incident occurring again.



## 13 Notification of decisions made

- 13.1 In all cases where the final award committee has considered a breach of regulations, the head of school will be informed by letter, signed by the assessment director, of the decision reached by the committee. If a breach of regulations has been established:
- the head of school will be required to acknowledge receipt of the letter to assure the IBO that the decision of the committee has been received
  - the letter will be copied to the chair of the examining board, the curriculum or subject area manager responsible for the subject and the appropriate regional director.
- 13.2 It is the responsibility of the head of school (or his or her nominee) to inform the candidate of the IBO's decision.

## 14 Reconsideration, appeal and arbitration

- 14.1 Final award committee decisions are only open to reconsideration if the candidate establishes the existence of facts that were unknown to the final award committee when making its original decision.
- 14.2 In cases where a request for reconsideration as defined in the Regulations is possible, the reconsideration must precede any appeal. Appeals are possible against any decision of the final award committee, but only on the grounds that the procedures defined in the Regulations that led to the decision of the final award committee being appealed were not respected.
- 14.3 Any dispute arising from or in connection with the Regulations and/or the *Handbook of procedures for the Diploma Programme* which has not been resolved by means of reconsideration or appeal procedures, or which is not subject to those procedures, shall be finally settled by one arbitrator in accordance with the Swiss Rules of International Arbitration of the Swiss Chambers of Commerce.
- 14.4 For further details about reconsideration, appeal and arbitration, refer to the Regulations.





