

SOP Template: Management of Candidate Misconduct and Incident Reporting

This SOP details the **management of candidate misconduct and incident reporting**, covering identification and documentation of incidents, investigation procedures, confidentiality and fairness standards, disciplinary actions, communication protocols, and record-keeping requirements. The goal is to ensure a transparent, consistent, and fair approach to handling candidate misconduct while maintaining the integrity of the assessment process and safeguarding all stakeholders involved.

1. Purpose

To establish a standardized procedure for managing candidate misconduct and reporting incidents to ensure fairness, consistency, and transparency throughout the process.

2. Scope

This SOP applies to all assessments conducted by [Organization Name] and covers all candidates, proctors, invigilators, assessors, and staff involved in the assessment process.

3. Definitions

Term	Definition
Candidate Misconduct	Any behavior by a candidate that violates assessment rules or the code of conduct, including but not limited to cheating, plagiarism, impersonation, or disruptions.
Incident	Any event during assessment perceived or confirmed as irregular or inappropriate, impacting process integrity.

4. Procedure

1. Identification and Documentation

- All suspected or observed incidents of misconduct must be immediately reported to the designated supervisor or assessment manager.
- An Incident Report Form must be completed by the reporting party within 24 hours, including details such as:
 - Date, time, and location of the incident
 - Names of individuals involved and witnesses
 - Detailed description of the misconduct
 - Supporting evidence (e.g. photographs, video, written statements)

2. Investigation

- The assessment manager will appoint an impartial investigator or committee within 48 hours of the report.
- All relevant parties will be interviewed, and evidence collected will be examined.
- Preliminary findings should be documented within 7 days.

3. Confidentiality and Fairness

- All information related to the incident must be treated as confidential.
- Candidates must be informed of the allegation and allowed to respond before a final decision is taken.

- Investigations must be free from bias or conflict of interest.

4. Disciplinary Actions

- Based on investigation findings, appropriate disciplinary action will be determined, which may include warnings, annulment of assessment, suspension, or expulsion.
- All actions should align with organizational policy and legal requirements.

5. Communication Protocols

- Updates must be provided to all relevant stakeholders at each stage of the process.
- Final outcomes will be communicated in writing to the candidate and relevant staff.

6. Record-Keeping

- All documentation related to the incident, investigation, and outcome must be securely stored in accordance with data protection regulations.
- Records should be retained for a minimum of [X] years, as per policy.

5. Roles and Responsibilities

Role	Responsibility
Invigilator/Proctor	Observe candidates, identify suspected misconduct, complete incident reports.
Assessment Manager	Review reports, appoint investigation, ensure adherence to process.
Investigator/Committee	Conduct impartial investigation, interview parties, compile findings.
HR/Legal	Advise on policy and legal compliance for disciplinary actions.

6. References

- [Organization Name] Code of Conduct
- Data Protection Policy
- Related Disciplinary Procedure Guidelines
- Relevant Local/National Legislation

7. Review and Revision

This SOP should be reviewed annually, or as required when procedures or regulations change.

This template should be adapted to fit the specific processes, policies, and regulatory requirements of your organization.