



MALPRACTICE POLICY FOR EXAMINATIONS AND ASSESSMENTS

Annual Review

September 2023-24

Malpractice Policy

Centre Name	Tupton Hall School
Centre Number	23146
Date policy first created	22/09/2023
Current policy approved by	Mr S Roberts
Current policy reviewed by	Mr S Roberts

Key staff involved in the policy

Role	Name
Head of Centre	Mr A J Knowles
Senior leader(s)	Mrs C Burton Mrs S Burton Ms N Campbell Mrs R Holland Mrs J Lammin Mrs A Lindley Mrs A Neville Mr S Roberts Mr C Sinclair Mrs A Webb
Exams officer	Mrs D Stanley
Other staff (if applicable)	

This policy is reviewed and updated annually to ensure that any malpractice at Tupton Hall School is managed in accordance with current requirements and regulations.

Reference in the policy to **GR** and **SMPP** relate to relevant sections of the current JCQ publications **General Regulations for Approved Centres** and **Suspected Malpractice: Policies and Procedures**.



Introduction

What is malpractice and maladministration?

'Malpractice' and 'maladministration' are related concepts, the common theme of which is that they involve a failure to follow the rules of an examination or assessment. This policy and procedure uses the word 'malpractice' to cover both 'malpractice' and 'maladministration' and it means any act, default or practice, which is:

- a breach of the Regulations
- a breach of awarding body requirements regarding how a qualification should be delivered
- a failure to follow established procedures in relation to a qualification which:
- gives rise to prejudice to candidates
- compromises public confidence in qualifications
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
- damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre (SMPP 1)

Candidate malpractice

'Candidate malpractice' means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper. (SMPP 2)

Centre staff malpractice

'Centre staff malpractice' means malpractice committed by:

- a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
- an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe (SMPP 2)

Suspected malpractice

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice. (SMPP 2)

Purpose of the policy

To confirm Tuption Hall School:

- has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body (GR 5.3)



General principles

In accordance with the regulations, Tupton Hall School will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations have taken place (GR 5.11)
- Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation (GR 5.11)
- As required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication **Suspected Malpractice - Policies and Procedures** and provide such information and advice as the awarding body may reasonably require (GR 5.11)

Preventing malpractice

Tupton Hall School has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ publication **Suspected Malpractice: Policies and Procedures**. (SMPP 4.3)
- This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance:
 - *General Regulations for Approved Centres 2023-2024*
 - *Instructions for conducting examinations (ICE) 2023-2024*
 - *Instructions for conducting coursework 2023-2024*
 - *Instructions for conducting non-examination assessments 2023-2024*
 - *Access Arrangements and Reasonable Adjustments 2023-2024*
 - *A guide to the special consideration process 2023-2024*
 - *Suspected Malpractice: Policies and Procedures 2023-2024*
 - *Plagiarism in Assessments*
 - *AI Use in Assessments: Protecting the Integrity of Qualifications*
 - *A guide to the awarding bodies' appeals processes 2023-2024* (SMPP 3.3.1)

Additional information:

Not applicable

Informing and advising candidates

How: Candidates are informed of the JCQ rules and regulations regarding external examinations, including malpractice regulations, at a dedicated assembly on examinations. When: the assembly takes place before any external examinations and assessments have been completed, normally in the Autumn term and again in April, prior to the commencement of the external exam period. By whom: Mr



Roberts, Mr Sinclair (Mr Roberts has direct involvement with examinations and is line manager to the exams officer) and Mrs C Burton (Head of Sixth Form) brief candidates on exam regulations. Describe the process: All candidates who are due to complete exams in the summer of the respective academic year receive briefings regarding exam regulations and malpractice during Year Group assemblies. The seriousness and sanctions are outlined and how this could impact their actual grades and future prospects. When it takes place: The briefings usually take place in the Autumn term and prior to the start of the actual exams commencing. Names and/or roles of staff involved in briefing candidates: Mr Roberts, Assistant Head teacher Mr Sinclair, Assistant Head teacher Mrs C Burton, Assistant Head teacher (Sixth form)

AI Use in Assessments

With reference to the JCQ guidance for Teachers & Assessors - *AI Use in Assessments: Protecting the Integrity of Qualifications*:

Students complete the majority of their exams and a large number of other assessments under close staff supervision with limited access to authorised materials and no permitted access to the internet. The delivery of these assessments should be unaffected by developments in AI tools as students must not be able to use such tools when completing these assessments.

There are some assessments in which access to the internet is permitted in the preparatory, research or production stages. The majority of these assessments will be Non-Examined Assessments (NEAs), coursework and internal assessments for General Qualifications (GQs) and Vocational & Technical Qualifications (VTQs). JCQ's guidance which is designed to help students and teachers to complete NEAs, coursework and other internal assessments successfully is followed in relation to these assessments.

The school will use available resources produced by the JCQ to help teachers understand and prevent AI misuse and to help students to better understand the rules for the use of AI in assessments, as follows **Information Sheet for Teachers, Senior Leader Presentation for Teachers, Poster for Students, Teacher Presentation for Students.**

Identification and reporting of malpractice

Escalating suspected malpractice issues

- Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3)

Malpractice incidents should be reported to the Exams Officer in the first instance, who will: Take written details of the incident from the person reporting it making sure that any evidence is secured and retained (where possible); Speak to the candidate/staff involved and inform them of the allegations. Ask them to complete a written statement, including any mitigating circumstances; Ensure that the person(s) involved are kept behind and away from others; Record names of any witnesses and obtain individual statements from them; Inform those involved that the incident will be reported to the relevant awarding body who will decide what sanctions to impose should they be found to have committed malpractice; Inform them that the information may well be shared with other awarding bodies. Inform the Head of Centre. Complete the relevant JCQ Suspected Malpractice forms once all the evidence has been compiled; Obtain any signatures and send to awarding body; Follow up with a written confirmation of what has happened and let them know that the outcome will be sent out by email/letter.



Reporting suspected malpractice to the awarding body

- The head of centre will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication **Suspected Malpractice: Policies and Procedures** (SMPP 4.1.3)
- The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)
- Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration (SMPP 4.4, 4.6)
- Malpractice by a candidate discovered in a controlled assessment, coursework or non- examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)
- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)
- Once the information gathering has concluded, the head of centre (or other appointed information gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (5.35)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)
- The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.40)

Additional information:

Not applicable

Communicating malpractice decisions

Once a decision has been made, it will be communicated in writing to the head of centre as soon as possible. The head of centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The head of centre will also inform the individuals if they have the right to appeal. (SMPP 11.1) Additional information:

Not applicable



Appeals against decisions made in cases of malpractice

Tupton Hall School will:

- Provide the individual with information on the process and timeframe for submitting an appeal, where relevant
- Refer to further information and follow the process provided in the JCQ publication **A guide to the awarding bodies' appeals processes**

Additional information:

Not applicable



Changes 2023/2024

Under heading **Purpose of the policy:** (Changed)

The purpose of this policy is to confirm how [Centre name: *Tuption Hall School*] manages malpractice under normal delivery arrangements in accordance with the regulations (To) To confirm [Centre name: *Tuption Hall School*] has in place a written malpractice policy which covers all qualifications delivered by the centre and details how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body (GR 5.3)

Under heading **General Principles:** Moved subsections **Candidate malpractice** and **Centre staff malpractice** from this section and added under **Introduction** section

Under heading **Preventing Malpractice:** (Added) A new bullet point: This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance:

- General Regulations for Approved Centres 2023-2024
- Instructions for conducting examinations (ICE) 2023-2024
- Instructions for conducting coursework 2023-2024
- Instructions for conducting non-examination assessments 2023-2024
- Access Arrangements and Reasonable Adjustments 2023-2024
- A guide to the special consideration process 2023-2024
- Suspected Malpractice: Policies and Procedures 2023-2024
- Plagiarism in Assessments
- AI Use in Assessments: Protecting the Integrity of Qualifications
- A guide to the awarding bodies' appeals processes 2023-2024 (SMPP 3.3.1)

(Added) New subheading **Informing and advising candidates** and an insert field to be populated according to the centre's process

Under heading **Identification and reporting of malpractice:** (Added) New subheading **Escalating suspected malpractice issues** and

- new bullet point: Once suspected malpractice is identified, any member of staff at the centre can report it using the appropriate channels (SMPP 4.3)
- an insert field to be populated according to the centre's process

(Added) New subheading **Reporting suspected malpractice to the awarding body**

(Added) New bullet point: The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)



(Changed) SMPP reference: If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.32) (To) If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)

(Changed) Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the case to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (SMPP 5.34) (To) Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (SMPP 5.35)

(Changed) SMPP reference: Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.36) (To) Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)

(Changed) SMPP reference: The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.39) (To) The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.40)

Under heading **Appeals against decisions made in cases of malpractice**: (Changed) Provide the individual with information on the process for submitting an appeal, where relevant (To) Provide the individual with information on the process and timeframe for submitting an appeal, where relevant

Under each relevant section added **Additional information** fields to be populated by the user if applicable

(28/02/2024) Suggested policy title changed from **Malpractice Policy (Exams)** to **Malpractice Policy (Exams/Assessments)**

Under the section Preventing malpractice:

(Amended) Heading **Informing and advising candidates** to **Informing and advising candidates how to avoid committing malpractice in examinations/assessments**

(Added) Section entitled **AI Use in Assessments**

Centre-specific changes

None