



# ALSOP HIGH SCHOOL

## Exams

# Malpractice Procedures

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## Introduction

Alsop High school is committed to investigating all cases of suspected malpractice. Where cases of suspected malpractice are proven, the school is fully committed to take appropriate action, including applying punitive measures and reporting suspected malpractice in order to maintain the integrity of assessment and certification. All staff have a professional duty to ensure that they uphold this policy. Whilst the policy sets out general principles in addition staff must also ensure that they abide by the specific assessment requirements for each course as laid down by the awarding organisation for each subject specification.

## Purpose of the policy

The purpose of this policy is to reduce the risk of malpractice and/or maladministration by:

- increasing awareness and understanding of the actions that constitute malpractice and/or maladministration by students, teachers, and other staff
- Reduce the risk of breaching regulations through ignorance
- explaining how students and staff will be made aware of this policy
- identifying strategies to be employed to minimise risk of malpractice by staff or learners
- describing how instances of alleged malpractice will be dealt with

***This policy should be read in conjunction with other related policies including:***

- Alsop High School's Examinations Policy
- Alsop High School's Controlled Assessment Policy
- JCQ's Suspected Malpractice in Examinations and Assessments Policy 2022-23

## Definition of Malpractice

Malpractice refers to any deliberate act or failure to act which compromises, or threatens to compromise the integrity of the assessment process, and as a result the validity of the result or certificate awarded.

## Centre Staff Malpractice

The JCQ defines 'Centre staff malpractice' as 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, an Oral Language Modifier, a practical assistant, a prompter, a reader or a scribe.

## Student Malpractice

Student malpractice' means malpractice by a student 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.

Examples of staff and student malpractice are set out in the **Appendix**. These examples are not an exhaustive list and as such do not limit the scope of the definitions set out in this document. Other instances of malpractice may be considered by the awarding body.

## Procedures for informing students of JCQ & awarding bodies' regulations

All students receive an external examinations booklet which contains a copy of the JCQ and Awarding bodies' regulations regarding non-examination assessment (NEA), coursework/controlled assessment and on screen and written examinations and these are also displayed on the school website. During the course of the examination period, the JCQ Warning to Candidate and Mobile Phone notices are displayed both outside and inside the examination venues. They are also referred to in Exam assemblies.

Before the beginning of every exam, students are given a verbal reinforcement of the awarding bodies' regulations. In addition, students are given a further opportunity to hand in mobile phones and electronic devices just before the commencement of any formal examinations whether written or on-screen.

## Procedures for reporting suspected malpractice

### Students

Any case of suspected malpractice should be reported to the Senior Leader for Examinations who will inform the Headteacher.

The Senior Leader for Examinations will conduct a full enquiry into the malpractice in conjunction with the Headteacher. **Form JCQ/M1** (suspected candidate malpractice) should be used to notify an awarding body of an incident of malpractice.

If malpractice is deemed to have taken place then a full written report is submitted to the awarding body with supporting evidence.

Students accused of malpractice are made fully aware at the earliest opportunity of the nature of the alleged malpractice, and of the possible consequences should the malpractice be proven. The parents/guardians of the students are also notified in writing of the alleged malpractice and of the possible consequences.

Students accused of malpractice must be given the opportunity to respond in writing to allegations made. Students accused of malpractice should be made aware of the avenues for appealing should a judgment be made against him or her. Full details of

an awarding bodies' appeals procedure will be sent to the student and parents/guardians if the judgment goes against the student.

The student and parents/guardians will be informed in writing of the outcome of the awarding bodies' decision.

The only exception to this relates to assessment malpractice in coursework or controlled assessment which is discovered prior to the student signing the declaration of authentication. In these circumstances the incident need not be reported to awarding bodies, but will be dealt with in accordance with the school's behaviour policy. Any work which is not the students own will not be given credit. In addition, a note will be added to the cover sheet to detail any assistance that has been given.

### **Sanctions and Penalties**

If a student is found to have committed malpractice Awarding bodies may apply to following sanctions and penalties:

- A written warning
- Loss of marks gained for a component/unit
- Disqualification from the unit
- Disqualification from all units in one or more qualifications taken in the series
- Disqualification from the whole qualification
- Disqualification from all qualifications taken in that series
- Barre from entering for examinations for a set period of time

### **Centre Staff**

Investigations into any case of malpractice or irregularities against a member of staff will normally be carried out in the first instance by the Headteacher, in conjunction with the Senior Leader for examinations. **Form JCQ/M2** (suspected malpractice/maladministration involving centre staff) should be used to notify an awarding body of an incident of malpractice. A full report will be submitted along with supporting evidence to the awarding body.

Investigations into alleged malpractice or irregularities against the Headteacher must be carried out by the Chair of the School's Governing Body and reported to the awarding organisation when completed.

Any member of staff accused of malpractice or irregularities must be made fully aware in writing at the earliest opportunity of the nature of the alleged malpractice, and the possible consequences should malpractice be proven.

Any member of staff accused of malpractice or irregularities must have the opportunity to respond in writing to allegations made.

Any member of staff accused of malpractice or irregularities must be made aware of the avenues for appealing should a judgment go against him or her.

The individual has a right to appeal against a malpractice outcome if they believe that the policy or procedure has not been followed properly or has been implemented to their detriment.

The school will investigate any instances of suspected malpractice in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* and provide such information and advice as the awarding body may reasonably require.

### **Sanctions and Penalties**

If a member of staff is found to have committed malpractice Awarding bodies may apply the following sanctions and penalties:

- A written warning
- Specific training or mentoring
- Special conditions imposed
- Suspension from all involvement in the delivery or administration of examinations and assessment for a set period of time. Other awarding bodies and regulators will be informed.

## Appendix

### Examples of malpractice<sup>1</sup>

This more detailed list of examples of malpractice by staff and students has been drawn from the JCQ document *Suspected Malpractice in Examinations and Assessments*. These lists are not exhaustive and other instances of malpractice may be considered by the school/Awarding body at its discretion.

### Centre staff malpractice

#### Breach of security

Any act which breaks the confidentiality of question papers or materials, and their electronic equivalents, or the confidentiality of candidates' scripts or their electronic equivalents.

It could involve:

- failing to keep examination material secure prior to an examination;
- discussing or otherwise revealing information about examinations and assessments that should be kept confidential, e.g. internet forums/social media;
- moving the time or date of a fixed examination beyond the arrangements permitted within the JCQ publication Instructions for conducting examinations. Conducting an examination before the published date constitutes centre staff malpractice and a clear breach of security;
- failing to adequately supervise candidates who have been affected by a timetable variation (This would apply to candidates subject to overnight supervision by centre personnel or where an examination is to be sat in an earlier or later session on the scheduled day.);
- releasing candidates early from a timetabled assessment (e.g. before 10 a.m. for a morning session examination)
- permitting, facilitating or obtaining unauthorised access to examination material prior to an examination;
- failing to retain and secure examination question papers after an examination in cases where the life of the paper extends beyond the particular session. For example, where an examination is to be sat in a later session by one or more candidates due to a timetable variation;
- tampering with candidate scripts, controlled assessments, coursework or non-examination assessments after collection and before despatch to the awarding body/examiner/moderator;

(This would additionally include reading candidates' scripts or photocopying candidates' scripts prior to despatch to the awarding body/examiner.)

- failing to keep candidates' computer files secure which contain controlled assessments, coursework or non-examination assessments.

## **Deception**

Any act of dishonesty in relation to an examination or assessment including, but not limited to:

- inventing or changing marks for internally assessed components (e.g. non-examination assessments) where there is no actual evidence of the candidates' achievement to justify the marks awarded;
- manufacturing evidence of competence against national standards;
- fabricating assessment and/or internal verification records or authentication statements;
- entering fictitious candidates for examinations or assessments, or otherwise subverting the assessment or certification process with the intention of financial gain (fraud);
- substituting one candidate's controlled assessment, coursework or non-examination assessment for another's;
- providing misleading or inaccurate information to an awarding body, candidates and/or parents.

## **Improper assistance to candidates**

Any act where assistance is given beyond that permitted by the specification or regulations to a candidate or group of candidates, which results in a potential or actual advantage in an examination or assessment.

For example:

- assisting candidates in the production of controlled assessment, coursework, non-examination assessment or portfolios, beyond that permitted by the regulations;
- sharing or lending candidates' controlled assessment, coursework or non-examination assessment with other candidates in a way which allows malpractice to take place;
- assisting or prompting candidates with the production of answers;
- permitting candidates in an examination to access prohibited materials (dictionaries, calculators etc.);
- prompting candidates in an examination/assessment by means of signs, or verbal or written prompts;
- assisting candidates granted the use of a Communication Professional, an Oral Language Modifier, a practical assistant, a prompter, a reader or a scribe beyond that permitted by the regulations.

## **Failure to co-operate with an investigation**

- failure to make available information reasonably requested by an awarding body in the course of an investigation, or in the course of deciding whether an investigation is necessary; and/or
- failure to investigate on request in accordance with the awarding body's instructions or advice; and/or



- failure to investigate or provide information according to agreed deadlines; and/or
- failure to immediately report all alleged, suspected or actual incidents of malpractice to the awarding body.

### **Maladministration**

Failure to adhere to the regulations regarding the conduct of controlled assessments, coursework, examinations and non-examination assessments, or malpractice in the conduct of examinations/assessments and/or the handling of examination question papers, candidate scripts, mark sheets, cumulative assessment records, results and certificate claim forms, etc.

For example:

- failing to ensure that candidates' controlled assessment, coursework, non-examination assessment or work to be completed under controlled conditions is adequately completed and/or monitored and/or supervised;
- failure, on the part of the head of centre, to adhere to awarding body specification requirements in the delivery of non-examination assessments, Endorsements and other projects required as part of a qualification. These include the GCSE Computer Science Programming Project, GCSE English Language Spoken Language Endorsement and/or the GCE A-level Biology, Chemistry, Geology and Physics Practical Skills Endorsement;
- inappropriate members of staff assessing candidates for access arrangements who do not meet the criteria as detailed within Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments;
- failure to use the correct tasks/assignments for assessments;
- failure to train invigilators and those facilitating access arrangements adequately, e.g. readers and scribes, leading to non-compliance with the JCQ publication Instructions for conducting examinations;
- failing to issue to candidates the appropriate notices and warnings, e.g. JCQ Information for candidates documents;
- failure to inform the JCQ Centre Inspection Service of alternative sites for examinations;
- failing to post notices relating to the examination or assessment outside all rooms (including Music and Art rooms) where examinations and assessments are held;
- not ensuring that the examination venue conforms to the requirements as stipulated in the JCQ publication Instructions for conducting examinations;
- failing to prevent the introduction of unauthorised material into the examination room, either prior to or during the examination (N.B. this precludes the use of the examination room to coach candidates or give subject-specific presentations, including power-point presentations, prior to the start of the examination.);

- failing to remind candidates that any mobile phones or other unauthorised items found in their possession must be handed to the invigilator prior to the examination starting;
- failure to invigilate examinations in accordance with the JCQ publication Instructions for conducting examinations;
- failure to have on file for inspection purposes accurate records relating to overnight supervision arrangements.
- failure to have on file for inspection purposes appropriate evidence, as per the JCQ publication Access Arrangements and Reasonable Adjustments, to substantiate approved access arrangements processed electronically using the Access arrangements online system;
- granting access arrangements to candidates who do not meet the requirements of the JCQ publication Access Arrangements and Reasonable Adjustments;
- granting access arrangements to candidates where prior approval has not been obtained from the Access arrangements online system or, in the case of a more complex arrangement, from an awarding body;
- failure to supervise effectively the printing of computer-based assignments when this is required;
- failing to retain candidates' controlled assessments, coursework or non-examination assessments securely after the authentication statements have been signed or the work has been marked;
- failing to maintain the security of candidate scripts prior to despatch to the awarding body or examiner;
- failing to despatch candidates' scripts, controlled assessments, coursework or non-examination assessments to the awarding bodies, examiners or moderators in a timely way;
- failing to notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice;
- failing to conduct a thorough investigation into suspected examination or assessment malpractice when asked to do so by an awarding body;
- breaching the published arrangements for the release of examination results;
- the inappropriate retention or destruction of certificates;
- failing to recruit learners with integrity, including the recruitment of learners who have not met the qualification's minimum entry requirements wherever stipulated and/or the recruitment of learners who are unable or otherwise unlikely to complete the qualification.

## **Student malpractice**

For example:

- the alteration or falsification of any results document, including certificates;
- a breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination or assessment rules and regulations;
- failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
- collusion: working collaboratively with other candidates, beyond what is permitted;
- copying from another candidate (including the use of technology to aid the copying);
- allowing work to be copied e.g. posting work on social networking sites prior to an examination/assessment;
- the deliberate destruction of another candidate's work;
- disruptive behaviour in the examination room or during an assessment session (including the use of offensive language);
- failing to report to the centre or awarding body the candidate having unauthorised access to assessment related information or sharing unauthorised assessment related information on-line;
- exchanging, obtaining, receiving, passing on information (or the attempt to) which could be assessment related by means of talking, electronic, written or non-verbal communication;
- making a false declaration of authenticity in relation to the authorship of controlled assessment, coursework, non-examination assessment or the contents of a portfolio;
- allowing others to assist in the production of controlled assessment, coursework, non-examination assessment or assisting others in the production of controlled assessment, coursework or non-examination assessment;
- the misuse, or the attempted misuse, of examination and assessment materials and resources (e.g. exemplar materials);
- being in possession of unauthorised confidential information about an examination or assessment;
- bringing into the examination room notes in the wrong format (where notes are permitted in examinations) or inappropriately annotated texts (in open book examinations);
- the inclusion of inappropriate, offensive, obscene, homophobic, transphobic, racist or sexist material in scripts, controlled assessments, coursework, non-examination assessments or portfolios;

- impersonation: pretending to be someone else, arranging for another person to take one's place in an examination or an assessment;
- plagiarism: unacknowledged copying from or reproduction of published sources or incomplete referencing;
- theft of another candidate's work;
- bringing into the examination room or assessment situation unauthorised material, for example: notes, study guides and personal organisers, own blank paper, calculators (when prohibited), dictionaries (when prohibited), instruments which can capture a digital image, electronic dictionaries (when prohibited), translators, wordlists, glossaries, iPods, mobile phones, MP3/4 players, pagers, Smartwatches or other similar electronic devices;
- the unauthorised use of a memory stick or similar device where a candidate uses a word processor;
- facilitating malpractice on the part of other candidates;
- behaving in a manner so as to undermine the integrity of the examination.

## Policy Review

This Malpractice policy for exams will be reviewed by the Head of Centre, Senior Leader for Examinations and the Examinations Officer annually.

\_\_\_\_\_ Head of Centre

\_\_\_\_\_ Senior Leader Examinations

\_\_\_\_\_ Examinations Officer