

DOWN HIGH SCHOOL



Examinations – malpractice policy

This policy deals with the following:

- Identifying Key people within the examinations team in Down High School
- Definition of malpractice
- Reporting malpractice
- Preventing malpractice
- Identification and reporting of Malpractice

Reviewing of Policy:

Date Review Completed	Nature of Change	Date Ratified by Board of Governors
	New policy	January 2024
To be reviewed December 2024		

Rationale

This document is intended to ensure the integrity of assessments and to provide procedures regarding malpractice incidents, including those who wish to report malpractice concerns regarding the delivery of qualifications within Down High School. The policies and procedures are in line with JCQ awarding bodies for dealing with breach of security and malpractice investigations relating to candidates, centre staff and centres.

Key people with regards to the administration of examinations.

The Head of centre is Mrs M Perry (Principal)

The Vice Principal with oversight of examinations is Mr R Daniells

The Senior Teacher with oversight of external examinations is Mrs H Hamilton

The Examinations Officer is Mrs E Skelton

The Assistant Examinations Officer is Mrs G Cooke

The School SENCO is Mrs N Thorpe

The Access Arrangements Coordinator is Mrs L Henderson

The Chief Invigilator is Mr D Emerson

Definition

‘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; and/or
- a breach of awarding body requirements regarding how a qualification should be delivered; and/or
- a failure to follow established procedures in relation to a qualification;

which:

- gives rise to prejudice to candidates; and/or
- compromises public confidence in qualifications; and/or
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate; and/or
- damages the authority, reputation or credibility of any awarding body or Down High School.

Malpractice relates to any aspect of completing qualifications be that Controlled Assessment, an Assignment or Examination.

JCQ divides malpractice into the following types (Appendix I gives examples for each type):

- breach of security;
- deception;
- improper assistance to candidates;
- failure to co-operate with an investigation;
- maladministration;
- candidate malpractice.
- Plagiarism (including using the internet and artificial intelligence (AI) tools).

Further exemplification of each type of malpractice can be found at

https://www.jcq.org.uk/wp-content/uploads/2023/09/Malpractice_Sep23_FINAL.pdf

Reporting malpractice

Any suspected malpractice must be reported to either Mrs H Hamilton, Mr R Daniells or Mrs M Perry. Anybody reporting Malpractice will be treated in line with Down High School Whistleblowing policy.

Preventing malpractice

Down High School will take all reasonable steps to prevent the occurrence of any malpractice or maladministration in the administration of examinations and assessments.

These steps include:

- Ensuring that our staff understand the requirements for the delivery of assessment.
- Reviewing and updating our Controlled Assessment policy annually and distributing it to all Heads of Department, teachers, relevant pupils and their parents.
- Annually reviewing and updating all policies regarding the administration of examinations.
- Briefing pupils and parents annually regarding expectations surrounding assessments, including Controlled Assessments and Examinations. Appropriate signage will be displayed in examination halls, and candidates and their parents will be informed verbally and in writing about the required conditions under which the assessments are conducted.
- Ensuring the examinations team are appropriately trained.
- Briefing the invigilation team annually.
- Ensuring that staff who manage and implement special consideration and access arrangements are aware of the requirements and are appropriately supported and resourced.

Identification and reporting of Malpractice

Suspected malpractice can be identified and reported by any of the following:

- centres (including by students, parents or centre staff);
- awarding bodies (including by examiners, moderators and awarding body staff);

Upon receiving an allegation of malpractice, the Learning and Teaching Vice Principal will

- Launch a rigorous investigation. This will comply with up-to-date written procedures and will result in a written report.
- Contact the awarding body, if appropriate, for guidance.
- Contact the parent of the pupil.
- Inform the Head of Centre

As allegation of malpractice will be treated as unproven until the relevant information has been gathered and considered.

If the Learning and Teaching Vice-Principal is the subject of the allegation of malpractice, then the Head of Centre and Chair of the Board of Governors will appoint an officer.

If appropriate, the Head of Centre will then

- notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice. The only exception to this is candidate malpractice discovered in coursework or non-examination assessments before the authentication forms have been signed by the candidate (in this instance the pupils will be dealt with through Down High's internal procedures – normally no marks will be awarded in this instance. The pupil will have the right to appeal such a decision). If staff malpractice is discovered in coursework or non-examination assessments, the head of centre will inform the awarding body immediately, regardless of whether the authentication forms have been signed by the candidate(s);
- report malpractice using the M1 forms found at <https://www.icq.org.uk/exams-office/malpractice/> ;
- be accountable for ensuring that the centre and centre staff comply at all times with the awarding body's instructions regarding an investigation;
- 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;
- ensure that if it is necessary to delegate the gathering of information to a senior member of centre staff, the awarding body's agreement is obtained and the senior member of centre staff chosen is independent and not connected to the department or candidate involved in the suspected malpractice. The head of centre should ensure there is no conflict of interest (see below) which might compromise the investigation;
- respond speedily and openly to all requests for an investigation into an allegation of malpractice. This is in the best interests of all involved;
- make information requested by an awarding body available speedily and openly;
- co-operate with an enquiry into an allegation of malpractice and ensure that their staff do so also, whether the centre is directly involved in the case or not;

- ensure staff members and candidates are informed of their individual responsibilities and rights as set out in this document;
- forward any awarding body correspondence and evidence to centre staff and/or provide staff contact information to enable the awarding body to do so;
- at all times comply with data protection law;
 - pass on to the individuals concerned any warnings or notifications of sanctions and ensure compliance with any requests made by the awarding body as a result of a malpractice case.

The Head of Centre will extend these procedures to any external candidate.

Gathering of information

Information will be obtained from individuals during the information gathering stage of an investigation through either statements or interviews, in line with standard practice in Down High School.

When gathered information, anyone interviewed or making a statement will be made aware that Down High School reserves the right to share their statements with others involved in the case and other appropriate third parties.

If, in the view of the information-gatherer, there is sufficient evidence that an individual may have committed malpractice, that individual (the candidate or the member of staff) will:

- be informed (preferably in writing) of the allegation made against them;
- be provided with a copy of the JCQ document *Suspected Malpractice: Policies and Procedures*:
<http://www.jcq.org.uk/exams-office/malpractice> ;
- be made aware of all evidence that has been obtained during the investigation which supports the allegation;
- know the possible consequences should malpractice be proven (as set out in Appendices 4 – 6 of https://www.jcq.org.uk/wp-content/uploads/2023/09/Malpractice_Sep23_FINAL.pdf ;
- have the opportunity and sufficient time to consider their response to the allegations;
- be given an opportunity to submit a written statement in response to the allegations;
- be provided with a complete set of case documentation, in the event of the case being referred to the awarding body's Malpractice Committee;
- be informed that in the event that the case is referred to the awarding body's Malpractice Committee, they will:
 - be provided with a complete set of case documentation
 - have the opportunity to read, and make a statement in response to, the case documentation
 - have the opportunity to seek professional advice and to provide a supplementary statement;

- be made aware of their right to appeal should a sanction be applied to them (as set out in the JCQ document *A Guide to the Awarding Bodies' Appeals Processes*):
<http://www.jcq.org.uk/exams-office/appeals>

Appendix I

The following are examples of malpractice. This is not an exhaustive list and as such does not limit the scope of the definitions set out earlier in this document. Other instances of malpractice may be identified and considered by the awarding bodies at their discretion.

Part 1: Centre staff malpractice

1. 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 document Instructions for conducting examinations. Conducting an examination before the published date constitutes centre staff malpractice and is 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, e.g. 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 secure computer files which contain candidates' controlled assessments, coursework or non-examination assessments.

2. 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.

3. 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, nonexamination assessments or portfolios, beyond that permitted by the regulations;
- sharing or lending candidates' controlled assessments, coursework or non-examination assessments 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, a 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.

4. 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;
- failing to adhere to awarding body key dates and deadlines relating to the delivery of examinations and assessments (such as those relating to the return of scripts, reporting of internal assessment marks/grades, making entries/claims, and Head of Centre declarations);
- inappropriate members of staff assessing candidates for access arrangements who do not meet the criteria as detailed within Chapter 7 of the JCQ document 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 documents;
- 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 document Instructions for conducting examinations;
- failing to prevent the introduction of unauthorised material into the examination room, either prior to or during the examination (NB 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 document Instructions for conducting examinations;

- failure to have on file for inspection purposes accurate records relating to overnight supervision arrangements;
- failure to have in place a malpractice policy;
- failure to have on file for inspection purposes appropriate evidence, as per the JCQ document 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 document 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 nonexamination 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;
- 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.

Part 2: Candidate 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;
- the unauthorised use of alternative electronic devices or technology during remote assessment and remote invigilation;
- accessing the internet, online materials or AI tools during remote assessment and remote invigilation, where this is not permitted;

- failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
- collusion: working collaboratively with others, 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 online;
- 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 assessments, coursework, nonexamination assessments, examination responses or assisting others in the production of controlled assessments, coursework, non-examination assessments or examination responses;
- 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 offensive comments, obscenities or drawings; discriminatory language, remarks or drawings directed at an individual or group in scripts, controlled assessments, coursework, non-examination assessments or portfolios;
- personation: 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, third party sources or incomplete referencing (including the internet and artificial intelligence (AI) tools);
- theft of another candidate's work;
- being in possession (whether used or not) of unauthorised material during an examination or assessment, for example: notes, study guides and personal organisers, own blank paper, calculators (when prohibited), dictionaries (when prohibited), watches, instruments which can capture a digital image, electronic dictionaries (when prohibited), translators, wordlists, glossaries, iPods, mobile phones, AirPods, MP3/4 players, pagers, 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.