# Malpractice Policy

Ralph Thoresby School

## Malpractice Policy

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| Centre name | Ralph Thoresby School |
| Centre number | 37655 |
| Date policy first created | 27/10/2023 |
| Current policy approved by | Graham Cowgill |
| Current policy reviewed by | Kelly Ghosal |
| Date of next review | 29/03/2025 |

## Key staff involved in the policy

| **Role** | **Name** |
|---|---|
| Head of centre | Will Carr |
| Senior leader(s) | Graham Cowgill<br>Mudassir Mir |
| Exams officer | Kelly Ghosal |
| Other staff (if applicable) | |

This policy is reviewed and updated annually to ensure that any malpractice at Ralph Thoresby 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 Ralph Thoresby 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 Ralph Thoresby 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

Ralph Thoresby 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:

**Informing and advising candidates how to avoid committing malpractice in examinations/assessments**

Students are provided with the JCQ documentation at the start of each academic year. Exam timetables include information on unauthorised items. Assemblies are held to inform students of the regulations and the consequences of failing to follow the regulations.

If a candidate commits a malpractice, they and their parents are emailed to state that the malpractice committed. They are also informed, by email, of the awarding bodies outcome.

**AI Use in Assessments**

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.

## 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)

All candidate malpractice is reported to the Exams Officer who collates the information and informs the SLT link.

**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:

## 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:

## Appeals against decisions made in cases of malpractice

Ralph Thoresby 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:

## Changes 2023/2024

Under heading **Purpose of the policy**: (Changed) The purpose of this policy is to confirm how Ralph Thoresby School manages malpractice under normal delivery arrangements in accordance with the regulations (To) To confirm Ralph Thoresby 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