



Malpractice Policy (Exams)

Policy/Procedure creator: B. Allin

Policy/Procedure created/reviewed:

November 2023

Centre Name	Esher High School
Centre Number	64695
Date policy first created	Autumn 2020
Current policy reviewed by	A. Vincent
Current policy approved by	J. Turner Autumn 2023

Key staff involved in the policy

Head of centre	Andy King
Senior leader(s)	J. Turner
Exams officer	A. Vincent
Other staff (if applicable)	B. Allin

This policy is reviewed and updated annually to ensure that any malpractice at Esher High 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 Esher High 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 Esher High 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

Esher High 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: AI - Artificial Intelligence

Students who misuse AI such that the work they submit for assessments is not their own, will have committed malpractice, in accordance with JCQ regulations and may attract severe sanctions.

NEA Non-examination assessments: Students must reference the use of AI by including specific details about the AI tool or model they utilised and describe how AI was integrated into their work

Esher High School ensures that access to online AI tools is restricted on centre devices used for exams. Internet connection is disabled.

Informing and advising candidates Not Applicable

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)

Not Applicable

Reporting suspected malpractice to the awarding body

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- 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 (SMPP 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 exams officer will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The exams officer 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

Esher High 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 Esher High School manages malpractice under normal delivery arrangements in accordance with the regulations (To) To confirm Esher High 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) A 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

a 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) A 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

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

CENTRE-SPECIFIC CHANGES

Upon review in September 2023 Added information on the use of AI in section "Preventing

Malpractice"

-Updated Name of Exams Officer