



Malpractice Policy (Exams)

2023/24

This policy is reviewed and updated annually to ensure that any malpractice at Dixons Sixth Form Academy 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.

Approved/reviewed by	
Carly Teale	
Date of next review	Sept 2024

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Key staff involved in the policy

Role	Name(s)
Head of centre	Mark Rothery
Senior leader(s)	Carly Teale
Exams Manager	Hazel Gill
Exams Officer	

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). Examples include but are not limited to:

- Misuse of examination material
- Behaving in such a way as to undermine the integrity of the examination
- Failing to abide by the instructions or advice of an invigilator, supervisor or the Awarding Body in relation to the examination rules and regulations
- Disruptive behaviour in the examination room
- Introduction of unauthorised material into the examination room
- Introducing into the examination room notes in the wrong format (when notes are permitted) or incorrectly annotated texts (in open book examinations)
- Obtaining, receiving, exchanging or passing on information which could be examination related (or the attempt to) by means of talking or written paper/notes
- Personation: pretending to be someone else, arranging for another to take one's place in an examination
- The inclusion of inappropriate, offensive or obscene material in scripts or coursework
- Copying from another candidate (including the misuse of ICT to do so)
- Collusion: working collaboratively with other candidates
- Plagiarism: the failure to acknowledge sources properly and/or the submission of another person's work as if it were the candidate's own
- Theft of another's work
- The deliberate destruction of another's work.
- The alteration of any results documents, including certificates

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)

Examples include but are not limited to:

- Moving the time or date of a fixed examination (beyond that permitted) without notifying the relevant Awarding Body
- Failing to keep examination papers secure prior to the examination
- Obtaining unauthorised access to examination material prior to an examination
- Assisting candidates in the production of coursework, beyond that permitted by the regulations
- Allowing candidates unsupervised access to coursework exemplar material, whether this is the work of former students or that provided by the Awarding Body
- Failing to keep student computer files secure.
- Assisting or prompting candidates with the production of answers

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 Dixons Sixth Form Academy:

- 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 Dixons Sixth Form Academy 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

Dixons Sixth Form Academy 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

Procedures for informing and advising candidates

- All candidates receive a copy of the Awarding Bodies' regulations regarding coursework and examinations. During the course of the examination period, notices are displayed both in the area immediately outside the examination room and on display in the examination area
- Candidates have a briefing with Progress Tutors where the expectations and rules around examinations are presented
- Before the beginning of every exam, candidates are given a verbal reinforcement of the Awarding Body's regulations. In addition, candidates are given the opportunity to hand in unauthorised materials to invigilators

Response to allegations of suspected malpractice

Dixons Sixth Form Academy investigates allegations of malpractice swiftly and thoroughly. Such investigation would be led by the Head of Centre and a full written report of any case then submitted to the relevant examination board including:

- A statement of the facts; a detailed account of the circumstances of the alleged malpractice and detail of any investigation carried out by the centre
- The evidence relevant to the allegation; such as written statement(s) from the invigilator(s), assessor, internal verifier(s), or other staff who are involved
- Written statement(s) from the candidate(s)
- Any exculpatory evidence and/or mitigating factors
- Information about the academy procedures for advising candidates of examination board regulations
- Seating plans showing the exact position of candidates in the examination room
- Any unauthorised material found in the examination room
- Any of the candidate's work and associated material, e.g. relevant source material for coursework

JCQ has its own policies and procedures for dealing with allegations of malpractice and our academy adheres to these:

The Head of Centre must:

- 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. If staff malpractice is discovered in coursework or non-examination assessments, the head of centre must inform the awarding body immediately, regardless of whether the authentication forms have been signed by the candidate(s)
- complete Form JCQ/M1 (suspected candidate malpractice) or Form JCQ/M2a (suspected malpractice/maladministration involving centre staff) to notify the awarding body/bodies whose qualifications are involved in an incident of malpractice. Each form is available from the JCQ website <https://www.jcq.org.uk/exams-office/malpractice/> Notifications in letter format will be accepted providing the information given covers the same points as Form JCQ/M1 or JCQ/M2a
- supervise personally, and as directed by the awarding body, all investigations resulting from an allegation of malpractice unless the investigation is being led by the awarding body or another party
- ensure that if it is necessary to delegate an investigation to a senior member of centre staff, 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 which can otherwise compromise the investigation
- respond speedily and openly to all requests for an investigation into an allegation of malpractice. This will be in the best interests of centre staff, candidates and any others involved
- speedily and openly make available information as requested by an awarding body;

- co-operate and ensure their staff do so with an enquiry into an allegation of malpractice, whether the centre is directly involved in the case or not
- inform staff members and candidates of their individual responsibilities and rights as set out in these guidelines
- forward any awarding body correspondence and evidence to centre staff and/or provide staff contact information to enable the awarding body to do so
- pass on to the individuals concerned any warnings or notifications of penalties, and ensure compliance with any requests made by the awarding body as a result of a malpractice case

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)

Appeals against decisions made in cases of malpractice

Dixons Sixth Form Academy 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