

# ASSESSMENT MALPRACTICE POLICY

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## Policy Control/Monitoring

<b>Approved by: (Position in Organisation)</b>	<b>Governors</b>
<b>Date:</b>	<b>07/11/2023</b>
<b>Accountability: (Position in Organisation)</b>	<b>Assistant Headteacher/ Exams Quality Control Lead</b>
<b>Revision Cycle:</b>	Annually
<b>Brief details of amendments made</b>	V2 – AI section updated

### Equality Impact Assessment

This document forms part of Percy Hedley’s commitment to create a positive culture of respect for all staff and service users. The intention is to identify, remove or minimise discriminatory practice in relation to the protected characteristics (race, disability, gender, sexual orientation, age, religious or other belief, marriage and civil partnership, gender reassignment, pregnancy and maternity), as well as to promote positive practice and value the diversity of all individuals and communities.

As part of its development this document and its impact on equality has been analysed and no detriment identified.

### Key staff involved in the policy – Centre No 39301

- **Head of Centre**
- **SLT**
- **Examination Officer**

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## Version Control Tracker

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V1	07/11/2023
V2	21/10/2024

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## 1.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)

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## 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)

Examples of malpractice: (SMPP Appendix 2)

- 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
- Deception
  - Any act of dishonesty in relation to an examination or assessment
- 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
- Failure to co-operate with an investigation

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- 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

### **Suspected malpractice**

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice. (SMPP 2)

## **2. Purpose of the policy**

To confirm Percy Hedley School:

- has in place for inspection that must be reviewed and updated annually, a written malpractice policy which covers all qualifications delivered by the centre detailing 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; it must also acknowledge the use of AI (e.g. what AI is, when it may be used and how it should be acknowledged, the risks of using AI, what AI misuse is and how this will be treated as malpractice)

### **General principles**

In accordance with the regulations Percy Hedley School will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place (GR 5.11)
- Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a

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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 to the awarding body (GR 5.11)
- Ensure that members of staff follow appropriate security procedures to ensure confidential information relating to examinations and assessment materials are not breached

### 3. Preventing malpractice

Percy Hedley 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 2024-2-25*
  - *Instructions for conducting examinations (ICE) 2024-2025*
  - *Instructions for conducting coursework 2024-2025*
  - *Instructions for conducting non-examination assessments 2024-2025*
  - *Access Arrangements and Reasonable Adjustments 2024-2025*
  - *A guide to the special consideration process 2024-2025*
  - *Suspected Malpractice: Policies and Procedures 2024-2025 (this document)*
  - *Plagiarism in Assessments*

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- *AI Use in Assessments: Protecting the Integrity of Qualifications*
- *Post Results Services June 2024 and November 2024*
- *A guide to the awarding bodies' appeals processes 2024-2025 (SMPP 3.3.1)*

#### 4. Informing and advising candidates

- Pupils will be informed of school's policy on assessment malpractice and plagiarism during induction of the course, through hand outs and via the pupils email by their teacher
- Examination staff/Invigilators inform students in the Exams room before the exam starts
- Pupils will be shown the appropriate formats to record cited texts and other materials or information including websites
- Percy Hedley School Staff should include assessment procedures which reduce the opportunity for malpractice including for example:
  - Period of supervised sessions during which evidence for assessments is produced by the pupil
  - Altering assessment assignments/tasks/tools on a regular basis; - using oral questions with pupils for a single assignment/task in a single session for the complete cohort of pupils
  - Ensuring access controls which prevent pupils from accessing and using other people's work when using networked computers
- Pupils should be asked to declare that their work is their own when submitting assessments
- Information for candidates is available on the PHS website
- All those interviewed or making statements regarding malpractice should be aware that awarding bodies reserve the right to share

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their statements, records or transcripts – with others involved in the case. This Information may be shared at any stage during or after the investigation

## **AI (Artificial Intelligence)**

AI tools do generate text in response to user prompts and questions.

AI (Artificial Intelligence) misuse is a form of plagiarism (presentation of someone else's work) and therefore Malpractice. Misuse of AI will have committed malpractice and may attract severe sanctions.

Examples of AI misuse include:

- using AI to complete parts of an assessment so that the work does not reflect the student's own work, analysis, evaluation, or calculations
- copying or referring to whole responses of AI-generated content
- copying or referring sections of AI-generated content so that the work is no longer the student's own
- failing to reference and acknowledge the use of AI tools when they have been used as a source of information

With reference to the JCQ guidance for Teachers & Assessors –

*AI Use in Assessments: Protecting the Integrity of Qualifications:*

- 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

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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

### **Acknowledging AI Use**

- If a student uses an AI tool which provides details of the sources it has used in generating content, these sources must be verified by the student and referenced in their work in the normal way
- Where an AI tool does not provide those details, students should ensure that they independently verify the AI generated content and then reference the sources they have used
- Where students use AI, they must acknowledge its use and show clearly how they have used it. This allows teachers and assessors to review how AI has been used and whether that use was appropriate in the context of the assessment/examination

## **5. 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)

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- Invigilator must inform Exams Officer immediately of any suspected malpractice issues.
- The Exams Officer informs the Deputy Head Teacher
- Reports from all parties involved must be completed and collated.
- The Exams Officer will report it to the awarding body as per protocol and procedure and submit with supporting documents
- The SLT will be notified by the Exams Officer and updates will be provided on the process of the suspected malpractice issue
- When a case of alleged assessment malpractice has been reported, the incident should be investigated using the appropriate disciplinary procedure

### 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)
- Where the head of centre wishes to appoint a staff member to gather information, the agreement of the awarding body must be obtained first. The head of centre will retain responsibility for ensuring the information has been obtained appropriately. The head of centre must ensure the information gathering meets the deadlines and requirements set by the awarding body (SMPP 5.6)
- The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation,

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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
- Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment where a candidate has signed the declaration of authentication, must be reported using a JCQ M1 to the relevant awarding body. If at the time of the malpractice there is no entry for that candidate (who the centre intended to enter), the centre is required to submit an entry by the required entry deadline (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 their enquiries (5.35)

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- 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 based on 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)

## 6. 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)

## 7. Appeals against decisions made in cases of malpractice

Percy Hedley 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**

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## 8. Centre-specific

### Qualification at PHS 2024/2025

Pearson ELC Entry Level Certificate English NEN0

Pearson Number & Measure ANM10, ANM20

Pearson Functional Skills – Maths & English EL1,2,3 & L1,2

Pearson - BTEC First Award in Information and Creative Technology

AQA ELC 5930 Entry Level Certificate Maths

AQA GCSE – various 8461, 8465, 8300, 8035

AQA Unit Awards – various

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