



Malpractice Policy (Exams)

Sir Thomas Rich's School

Malpractice Policy (Exams)

Centre name	Sir Thomas Rich's School
Centre number	57143
Date policy first created	22/11/2023
Current policy approved by	Senior Leadership Team (SLT), Trustees' Curriculum and Evaluation Committee
Current policy reviewed by	Jo Tyler
Date of review	22/10/2024
Date of next review	22/10/2025

Key staff involved in the policy

Role	Name
Head of centre	Matthew Lynch
Senior leader(s)	Dave Dempsey (Deputy Headteacher, Deputy Head of Centre) Sonja Jones (Director of Finance and Operations, Line Manager for Exams)
Exams officer	Jo Tyler
Other staff (if applicable)	Senior Leadership Team (SLT), Trustees' Curriculum and Evaluation Committee

This policy is reviewed and updated annually to ensure that any malpractice at Sir Thomas Rich's 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 documents **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 being 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 centre or any officer, employee or agent of any awarding body or centre (SMPP 1)

Candidate malpractice

'Candidate malpractice' normally involves 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 completion of any examination. (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 (regardless of how the incident might be categorised, as described in SMPP, section 19). (SMPP 2)

Purpose of the policy

To confirm Sir Thomas Rich's 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) (GR 5.3)

General principles

In accordance with the regulations Sir Thomas Rich's 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 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 current JCQ document **Suspected Malpractice - Policies and Procedures** and provide such information and advice as the awarding body may reasonably require (GR 5.11)

Preventing malpractice

Sir Thomas Rich's School has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ document **Suspected Malpractice: Policies and Procedures**. (SMPP 4.3)
- This includes ensuring that 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
 - 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)

Additional information:

Not Applicable

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

Exam briefing assemblies are held prior to all public examinations and mock examinations undertaken by Years 10-13 by the Examinations Officer and by Heads of Year to Years 7-9 in their end of year exams. In addition to this, for Public Exams, all JCQ information for students, a copy of the briefing slides and a candidate handbook are also emailed to students and parents/guardians. These exam briefings cover all the JCQ Information for Candidates guidance to ensure that candidates are clear on all the regulations pertaining to prohibited items (including calculators), what formal exam conditions are, lateness, equipment and

malpractice.

At the beginning of the academic year, in addition to our 'Teacher Guide to Exams' (which covers all aspects of the Exams Cycle), as well as internal assessment/endorsements, all teaching staff are sent JCQ documentation regarding NEAs, coursework, use of calculators (including FAQs-Using calculators) and reasonable adjustments in A level science. In addition, they are also sent links to our Internal Appeals Procedure Policy, NEA Policy, Notice to centres informing students of their centre assessed marks, Plagiarism in Assessments and the latest JCQ publication AI use in assessments protecting the integrity of qualifications, along with all the Information for Candidates documents (including the AI poster for students) and SLT Presentation for Teachers and Teacher Presentation for Students to use for training and in the classroom with students.

AI use in assessments

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 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). 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.

AI chatbots and AI tools which generate text in response to user prompts and questions. Users can ask follow-up questions or ask the chatbot to revise the responses already provided. AI chatbots respond to prompts based upon patterns in data sets (large language model) upon which they have been trained. They generate responses which are statistically likely to be relevant and appropriate. AI chatbots can complete the following tasks: analysing, improving and summarising text, authoring essays, articles, fiction and non-fiction, writing computer code, translating text from one language to another, generating new ideas, prompts or suggestions for a given topic/theme and generating text with specific attributes, such as tone, sentiment or formality.

At Sir Thomas Rich's School, in addition to the information shared with candidates and teaching staff helping teachers to understand and prevent AI misuse and to support students to better understand the rules of AI in Assessments (**see section above: Informing and advising students how to avoid committing malpractice in examination/assessments**), teaching staff then use these documents to brief their candidates on all the regulations surrounding the completion of NEAs/Coursework and models of calculators allowed in exams. Heads of Department ensure that candidates are clear on acceptable AI usage, so that like any other sources they use, they avoid plagiarism. They go through with candidates the risks of using AI in assessments and how to correctly reference any AI content they may wish to use. They are told to keep a copy of the computer-generated content for reference and authentication. This is to avoid the risk of misuse (i.e. not acknowledging/poor/incomplete acknowledgement of the use of AI as a source, using AI to complete/copy/paraphrase whole or parts of an assessment, submitting work that uses deliberately incomplete/misleading references), which could result in malpractice. Students are then required to sign their authentication statement/declaration. Sir Thomas Rich's School set up a working group for the use of AI in school in June 2023 and the Examinations Officer is a member of this group. Ways in which it may be used in teaching and learning by students is being discussed, along with how to identify risks and misuse, with examples of good practice being shared. The findings from this working group are then shared in CPD sessions during school INSET.

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)

During examinations, any suspected malpractice is identified to the Examinations Officer by the Invigilator. The candidate is immediately informed that this has to be reported to the Examination Board and that they will have the opportunity to submit a statement themselves after the exam. The Examinations Officer, authorised by the Head of Centre, uses JCQ/M1 form and collects evidence and takes a statement from the Invigilator and candidate after the exam along with the incident log and takes a photograph, where relevant, of any prohibited items used. The candidate's parents/guardians are informed for all candidates. Form M1 and supporting evidence is then checked by SLT Lead for Examinations prior to sending it to the Head of Centre for submission to the Examination Board concerned.

Any suspected malpractice for NEA/Coursework tasks prior to the candidate signing the declaration of authentication need not be reported to the appropriate Awarding Body and Sir Thomas Rich's School will resolve the matter internally. Teachers will not accept work which is not the candidate's own and check candidate's work regularly for acknowledgement of sources as they complete the assessment, as well as looking out for any changes in style of writing or off topic content. Candidates have strict deadlines for intermediate stages of their assessments where staff carry out these checks. Candidates are briefed on this before beginning any assessments. If any malpractice is suspected this will be escalated to Head of Department (acting under the authority of the Head of Centre) where the student will be informed that their work will not be submitted in its current plagiarised form.

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 document **Suspected Malpractice: Policies and Procedures** (SMPP 4.1.3)
- The head of centre will ensure that, where a candidate is a child or an adult at risk and 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 does not need to 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 (the candidate or the 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:

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 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:

Not Applicable

Appeals against decisions made in cases of malpractice

Sir Thomas Rich's 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 document **A guide to the awarding bodies' appeals processes**

Additional information:

Not Applicable

Changes 2024/2025

Under headings **What is malpractice**, **Candidate malpractice**, **Suspected Malpractice** amended to reflect slight wording changes in SMPP.

Under heading **Purpose of the policy**: To confirm Sir Thomas Rich's 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

(Amended to reflect the change in GR 5.3) To confirm Sir Thomas Rich's 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)

Under heading **General Principles**, bullet point amended to reflect the change in GR 5.11: take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after ~~examinations~~ assessments have taken place

Under heading **Preventing Malpractice**: Updated the list of JCQ documents.

Under the heading **Informing and advising candidates how to avoid committing malpractice in examinations/assessments** updated the prompt in the insert field to: Detail the process in your centre which confirms how, when and by whom candidates are informed and advised to avoid committing malpractice in examinations/assessments. Describe the process and 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). Confirm when this takes place and include the name(s) and/or role(s) of those staff involved in briefing candidates.

Centre-specific changes

Not Applicable