



Malpractice Policy (Exams and Assessments)

Centre name	The Roundhill Academy
Centre number	25327
Date policy reviewed	2 October 2024
Policy approved by	Natalie Teece
Policy reviewed by	Julia Rann
Date of next review	30 September 2025

Key staff involved in the policy

Role	Names
Head of Centre	Natalie Teece
SLT Member with responsibility for Exams	Julia Rann
Examinations Manager	Tania Taylor

This policy is reviewed and updated annually to ensure that any malpractice at The Roundhill 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**.

To be read in conjunction with:

- Complaints Policy
- Internal Appeals Procedure (Access arrangements, special considerations and other admin issues)
- Internal Appeals Procedure (Internal Assessment Decisions)
- Internal Appeals Procedure (Review of Results and Appeals)
- Managing Behaviour Policy

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 manager, 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 nonexamination 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 The Roundhill Academy:

- 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 The Roundhill Academy 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 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

The Roundhill 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:
- Malpractice within examination rooms is covered in more detail in the Managing Behaviour Policy
- *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

Informing and advising candidates:

The Roundhill Academy will provide candidates with an examination booklet ahead of exams giving them examples of potential malpractice incidents, this will also be included in assemblies and presentations with candidates. Candidates will also be directed to information provided by JCQ for further guidance.

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

Students are made aware via tutor briefings, assemblies and also AI posters which are displayed on the examinations notice board and also in classrooms

Information relating to AI

AI Use in Assessments

Students are made aware via tutor briefings, assemblies, email and AI posters which are displayed on the examinations notice board and also in classrooms. The Examinations Manager will go into all classes with NEA before the work is commenced to advise the rules and consequences of failing to adhere to JCQ regulations. The Exams Office recording on the use of AI will be shown to all students prior to coursework/NEA work being undertaken. This will explain what AI is, when it may be used and how it should be acknowledged. The penalties for incorrect use of AI will be explained. Students will then sign to say that they understand malpractice and the improper use of AI.

All teaching staff are provided with up to date JCQ regulation booklets listed above at the beginning of each academic year and updated as new editions are provided by JCQ

Identification and reporting of malpractice

Investigating suspected candidate malpractice (including but not limited to use of AI, plagiarism, breaking NEA assessment conditions, use of unauthorised material, unauthorised involvement of a third party, deliberate tampering with another candidate's work)

Investigate the authenticity of the work including (but not limited to)

- Interviewing the candidate with appropriate safeguarding measures in place
- Conducting an online search to establish a basis for malpractice
- Review IT logs
- Review internal submissions
- Compare work with candidate's previous work (conducted under similar circumstances where practicable)
- Review teaching materials (used in class and online)

Any investigations regarding malpractice of a candidate will be conducted by the Exams Manager, head of centre, or appropriate SLT member, who has no direct involvement with the malpractice case.

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)

If any malpractice is suspected, then this is reported immediately to the Examinations Manager. An assessment of whether malpractice has taken place will be undertaken. The Head of Centre will be informed and the relevant bodies and JCQ will be informed.

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 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 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)
- Assessment records will be updated with details of any improper assistance.
- 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)

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

The Roundhill 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**

To confirm The Roundhill Academy: has in place a written malpractice policy which covers all qualifications and assessment formats 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