

Presdales School



'Achievement for All'

Title	Exams Malpractice Policy & Whistleblowing Procedure
Version	March 2024
Author/Title	George Martin, Exams Officer
Committee Responsible	Students
Trustee Link	Maddie Waller
Date approved by Committee	20 th March 2024
Date approved by Full Trust Board	NA
Review Date	March 2025

Enquiries & comments

Any enquiries and comments about this publication may be made to:

Telephone: 01920 462210 / **Email:** admin@presdales.herts.sch.uk

Address: Hoe Lane, Ware, Hertfordshire SG12 9NX

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

Presdales 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:

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

At the beginning of the academic year, the Exams Officer is responsible for ensuring that all Heads of Department are sent the above mentioned JCQ documents. They are instructed to familiarise themselves with the entire contents of these documents and also to ensure that any other members of their department responsible for the delivery of NEA components are also familiar with this guidance. The EO signposts Heads of Department to any updated guidance issued throughout the academic year. Heads of department are responsible for ensuring that all candidates completing NEAs in their subjects have been informed of the rules surrounding malpractice and how to avoid committing it.

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. Please refer to the school's AI Guidance for more details relating to the use of AI at Presdales School.

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.

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)

Any suspected malpractice should be reported to the Head of Centre, unless the Head of Centre is themselves under suspicion of malpractice in which case the suspected malpractice should be reported to the school's Head of Trustees.

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 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 (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

Presdales 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**

Whistleblowing

Whistleblowing at Presdales School is encouraged, not penalised, and staff/students are made aware that they have a duty to report any concerns they have about the conduct of examinations.

A whistle blower is defined as a person who reports an actual or potential wrongdoing and is protected by the Public Interest Disclosure Act 1998 (PIDA), providing they are acting in the public interest.

- Reference www.jcq.org.uk/exams-office/general-regulations/
- Reference www.jcq.org.uk/exams-office/malpractice/
- Reference www.jcq.org.uk/examination-system/imc-home/
- If the person raising the issue is a worker, this will be considered as whistleblowing. This includes agency staff and contractors.

If any member of staff is concerned that the Head of Centre has not fully investigated a reported allegation into suspected malpractice, they are encouraged to follow the below Whistleblowing procedure.

Whistleblowing procedure

If an individual does not feel safe raising an issue/reporting malpractice within the centre, or they have done so and are concerned that no action has been taken, that individual could consider making their disclosure ¹ to a malpractice expert at the awarding body for the qualification where malpractice is suspected.

For members of centre staff, it is likely that the Public Interest Disclosure Act (PIDA) ² offers you legal protection from being dismissed or penalised for raising certain serious concerns. Whistleblowing rights under PIDA are day one rights ³. This means that the worker does not need the same two years' service that is needed for other employment rights.

In order to investigate concerns effectively, the awarding body should be provided with as much information as possible/is relevant, which may include:

- The centre involved (name & centre No.)
- The qualifications and subjects involved
- The names of staff/candidates involved
- The regulations breached/specific nature of suspected malpractice
- When and where the suspected malpractice occurred
- Whether multiple examination series are affected
- If the issue has been reported to the centre and what the outcome was
- How the issue became apparent

Members of the public are not protected by PIDA, but the awarding body will make every effort to protect their identity, unless the awarding body is legally obliged to release it ⁴.

Anonymity

In some circumstances, the whistle-blower might find it difficult to raise concerns with the nominated member of the senior leadership team. If a concern is raised anonymously, the issue may not be able to be taken further if insufficient information has been provided. In such instances, and if appropriate, the allegation may be disclosed to a union representative, who could then be required to report the concern without disclosing its source. Alternatively, whistle-blowers or others with concerns about potential malpractice can report the matter directly to Ofqual, who is identified as a 'prescribed body' ⁵.

A whistle-blower can give his/her name but may also request confidentiality; the person receiving the information should make every effort to protect the identity of the whistle-blower.

¹ Reference www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/

² Reference Public Interest Disclosure Act 1998 www.legislation.gov.uk/ukpga/1998/23/contents

³ Reference <https://protect-advice.org.uk/pida/>

⁴ Reference www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/

⁵ Reference <https://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2/whistleblowing-list-of-prescribed-people-and-bodies>