



Registered Charity 1171812

Malpractice Policy (Exams)

This policy is reviewed annually to ensure compliance with current regulations

Summary	
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Authorised by	Curriculum Committee
Responsibility of	Examinations Manager
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The Board of Trustees

The Board of Trustees has delegated approval of this policy to the Curriculum Committee and hold the SLT to account for its implementation.

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? (SMPP 1) '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 and/or
- a failure to follow established procedures in relation to a qualification

Which:

- gives rise to prejudice to candidates
- 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)

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

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
- 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)

Purpose of the policy

The purpose of this policy is to confirm how Connie Rothman Learning Trust manages malpractice under normal delivery arrangements in accordance with the regulations.

Connie Rothman Learning Trust has 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.

General principles

In accordance with the regulations Connie Rothman Learning Trust will:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- 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

Connie Rothman Learning Trust has in place robust processes to prevent and identify malpractice, as outlined in section 3.3 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 2024-25
- Instructions for conducting examinations (ICE) 2024-25
- Instructions for conducting coursework 2024-25
- Instructions for conducting non-examination assessments 2024-25
- Access Arrangements and Reasonable Adjustments 2024-25
- A guide to the special consideration process 2024-25
- Suspected Malpractice: Policies and Procedures 2024-25
- Plagiarism in Assessments
- Post Results services 2024-25
- AI Use in Assessments: Protecting the Integrity of Qualifications
- A guide to the awarding bodies' appeals processes 2024-25 (SMPP 3.3.1)

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

- All candidates will be made aware of the Information for Candidates document.
- Candidates will be notified of the consequences of committing malpractice.

Identification and reporting of malpractice

- 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 (SMPP4.1.3)
- 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 nonexamination 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 5.32) (To) 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 case to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (SMPP 5.34) (To) 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 (SMPP 5.35)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.36) (To) 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 5.39) (To) 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)

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)
- All malpractice at the Connie Rothman Learning Trust should be reported to the Exams Officer and Head of Centre.
- Witness statements are to be written by the invigilators or staff present to support the report of the incident.

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)

Reporting suspected malpractice to the awarding body

- 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)

Appeals against decisions made in cases of malpractice

Connie Rothman Learning Trust will:

- Provide the individual with information on the process for submitting an appeal, where relevant
(To) Provide the individual with information on the process and timeframe for submitting an appeal, where relevant