

POLICY / PROCEDURE

Document Title	Assessment Malpractice & Maladministration Policy
Version	Version 1.0
Equality Impact Assessment Status	Low
Approved by	Head of Information Services
Date approved	1st July 2016
Effective date	1st August 2016
Date of next review	31st October 2022
Lead responsibility	Head of Information Services

1. Purpose

- 1.1. The purpose of this Policy is to provide guidance to all those involved in managing the delivery of general and vocational qualifications on Assessment Malpractice and Maladministration.
- 1.2. To ensure the integrity of the Assessment and Quality Assurance Process.
- 1.3. To ensure consistency of approach by all staff involved.

2. Scope

- 2.1. It is the responsibility of everyone involved in the Centre's exam processes to read, understand and implement this policy.
- 2.2. The Assessment Malpractice & Maladministration Policy will be reviewed every year by the Examinations Officer, Head of Information Services and a member of the Executive Team.
- 2.3. Where references are made to JCQ Regulations/Guidelines, further details can be found at www.jcq.org.uk.

3. Policy / Principles

3.1. Centre Staff Malpractice:

3.1.1. Breach of Security

- Failing to keep examination material secure prior to an examination.
- Discussing or otherwise revealing secure information in public, for example internet forums.
- Moving the time or date of a fixed examination beyond the arrangements outlined within the JCQ publication Instructions for Conducting Examinations.
- Failing to supervise learners who have been affected by a timetable variation.
- Permitting, facilitating or obtaining unauthorised access to examination material prior to any examination.
- Failing to retain and secure examination question papers after an examination.
- Tampering with learner scripts/controlled assessments/coursework after collection and prior to despatch to the Awarding Organisation.
- Failing to keep learner computer files which contain controlled assessments or coursework secure.

3.1.2. Deception

- Inventing or changing marks for internally assessed components (e.g. coursework) where there is no actual evidence of the learner achievement.
- Manufacturing evidence of competence against National Standards.
- Fabricating assessment and/or Internal Quality Assurance records to authenticate statements.
- Entering fictitious learners for examinations or assessments, or otherwise subverting the assessment or certification process with the intention of financial gain.
- Substituting one learner's controlled assessment or coursework for another.
- Improper assistance to learners.
- Assisting learners in the production of controlled assessments or coursework, or evidence of achievement, beyond that permitted by the Regulations.
- Sharing or lending learners' controlled assessments or coursework with other learners in a way which allows malpractice to take place.

- Assisting or prompting learners with the production of answers.
- Permitting learners in an examination to access prohibited materials (for example dictionaries, calculators).
- Prompting learners in an examination/assessment.
- Assisting learners granted Access Arrangements/Special Considerations beyond that approved and permitted by the Regulations.

3.1.3. Maladministration

- Failing to ensure that learners' coursework under controlled conditions is adequately monitored and supervised.
- Unqualified members of staff assessing learners for Access Arrangements who do not meet the criteria as detailed with the JCQ Publication "Access Arrangements and Reasonable Adjustments".
- Failure to use current assignments for assessments.
- Failure to train Invigilators adequately, leading to non-compliance with the JCQ publication "Instructions for Conducting Examinations".
- Failure to issue to learners the appropriate notices and warnings, e.g. JCQ Information for Learners documents.
- Failure to inform the JCQ Centre Inspection Service of alternative sites for examinations.
- Failing to post notices relating to the examination or assessment outside all rooms where examinations and assessments are held.
- Not ensuring that the examination venue conforms to the requirements as stipulated in the JCQ publication "Instructions for Conducting Examinations".
- The introduction of unauthorised material into the examination room, either prior to or during the examination.
- Failing to remind learners that any mobile phones or other unauthorised items found in their possession must be handed to the Invigilator prior to the examination starting.
- Failure to invigilate examinations in accordance with the JCQ publication "Instructions for Conducting Examinations".
- Failure to keep accurate records in relation to very late arrivals.
- Failure to keep accurate and up to date records in respect of Access Arrangements which have been processed electronically using the Access Arrangements Online system.
- Granting Access Arrangements to learners who do not meet the requirements of the JCQ publication "Access Arrangements and Reasonable Adjustments".
- Granting Access Arrangements to learners where prior approval has not been obtained from the Access Arrangements Online system.
- Failure to supervise effectively the printing of computer based assignments where this is required.
- Failing to retain learners' controlled assessments or coursework in secure conditions.
- Failing to maintain the security of learner scripts prior to despatch to the Awarding Organisation.
- Failing to despatch learner scripts/controlled assessments/coursework to the Awarding Bodies timely.
- Failing to notify the appropriate awarding organisation of an instance of suspected malpractice in examinations or assessments as soon as possible after such an instance occurs or is discovered.
- Failing to conduct a thorough investigation into suspected examination or assessment malpractice when asked to do so by an Awarding Organisation.
- The inappropriate retention or destruction of certificates.

3.1.4. Learner Malpractice

- The alteration or falsification of any results document, including certificates.
- A breach of the instructions or advice of an Invigilator, Supervisor, or the Awarding Organisation in relation to the examination of assessment rules and regulations.
- Failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments.
- Working collaboratively with other learners, beyond what is permitted (collusion).
- Copying from another learner.
- Allowing work to be copied e.g. posting written coursework on social networking sites prior to an examination/assessment.
- The deliberate destruction of another learner's work.
- Disruptive behaviour in the examination room or during an assessment session.
- Exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examination related by means of talking, electronic, written or non-verbal communication.
- Making a false declaration of authenticity in relation to the authorship of controlled assessments, coursework or the contents of a portfolio.
- Allowing others to assist in the production of controlled assessments, coursework or assisting others in the production of controlled assessments or coursework.
- The misuse or the attempted misuse, of examination and assessment materials and resources.
- Being in possession of confidential material in advance of the examination.
- The inclusion of inappropriate, offensive or obscene material in scripts, controlled assessments, coursework or portfolios.
- Pretending to be someone else, arranging for another person to take one's place in an examination or an assessment (impersonation).
- Unacknowledged copying from published sources or incomplete referencing (plagiarism).
- Theft of another learner's work.
- Taking into the examination room or assessment situation unauthorised material, for example: notes, study guides and personal organisers.
- Behaving in a manner as to undermine the integrity of the examination.

4. Procedure

- 4.1. Derwentside College will not tolerate actions or attempted actions of malpractice by candidates or staff. Every case of malpractice must be reported to the Head of Centre, the Head of Information Services and the Examinations Officer.
- 4.2. All allegations should be made in writing and addressed to the Head of Centre and Examinations Officer.
- 4.3. Where Derwentside College discovers, suspects or is informed of Assessment Malpractice and Maladministration it will conduct an investigation.
- 4.4. Those involved will be notified in writing, within 5 working days of the allegations being made, the consequences should the allegations be proven and will be kept informed of the process as it progresses.
- 4.5. All investigations will initially be conducted by the Head of Information Services and Head of Centre who will interview all concerned.
- 4.6. All stages of the investigation will be documented by the Head of Information Services.
- 4.7. Upon conclusion of the investigation, a full report will be produced outlining the findings and will be submitted to the relevant Awarding Organisation.

- 4.8. Those involved will also be notified of the outcome of the investigation and the process for appeals against any decision which has been made. All appeals must be made in writing to the Head of Information Services within 30 days of the investigation completion.
- 4.9. For all cases of staff malpractice, the Vice Principal, Curriculum and Quality will decide whether disciplinary action is required.

5. Relevant Legislation / Regulation

5.1. The following legislation and regulations apply to this policy / procedure:

- JCQ Regulations
- Awarding Body Regulations

6. Related Documents

6.1. The following related documents are relevant to this policy / procedure:

- JCQ Regulations on Suspected Malpractice in Examinations and Assessments, Policies and Procedures, September 2021 to 31st August 2022

7. Accountability

- 7.1. The Examinations Officer is responsible for the drafting and implementation of this policy.
- 7.2. He or she is also responsible for ensuring that this document is regularly reviewed and updated – and is the first contact point for managers seeking advice and guidance about the Examinations Policy or making enquiries about its interpretation.
- 7.3. All managers are responsible for ensuring that they and their team members follow the requirements set out in this document.
- 7.4. All employees are responsible for adhering to the requirements set out in this document.

8. Equality & Diversity

- 8.1. The College has paid due regard to equality considerations during the preparation and implementation of this Policy and Procedure.
- 8.2. These considerations included the potential for any differential negative effect on the grounds of age, disability, gender reassignment, pregnancy and maternity, race (including ethnic or national origins, colour or nationality), religion or belief (including lack of belief), sex, sexual orientation, marriage or civil partnership.
- 8.3. The College's judgement is that there is no such negative effect on those grounds and, consequently, no potential breach of the Equality Act 2010.
- 8.4. The operation of this Policy and Procedure will be monitored by the HR Manager in order to establish that no unlawful discrimination is taking place and to identify opportunities for the College to enhance equality of opportunity and fair treatment.

9. Review

- 9.1. This document will be reviewed by 31st October 2022.
- 9.2. The Head of Information Services will undertake this review, taking into account the outcomes of the monitoring process, legislative changes and developments in good practice.
- 9.3. As part of the review, the Head of Information Services will seek and consider the views of the College's employees and of the recognised trade unions.
- 9.4. The outcome of the review will be reported to the Executive Team.

10. Document Identification

Category [select ONE only]	<input type="checkbox"/> Programmes/courses <input type="checkbox"/> Partnerships <input type="checkbox"/> Finance <input type="checkbox"/> Quality <input type="checkbox"/> Governance <input type="checkbox"/> Health and safety <input type="checkbox"/> Facilities <input type="checkbox"/> Computer Services <input checked="" type="checkbox"/> MIS <input type="checkbox"/> Admissions <input type="checkbox"/> Teaching and learning <input type="checkbox"/> Personnel
Audience [select ALL that apply]	<input checked="" type="checkbox"/> Employees <input checked="" type="checkbox"/> Learners <input type="checkbox"/> Partners <input type="checkbox"/> Suppliers