Examinations, Controlled Assessments And Malpractice Policy

Lord Grey Academy

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1. Introduction

This policy covers external public examinations, including non-examination assessments, and internal examinations undertaken by students at Lord Grey School. Its purpose is to inform staff, students, parents and governors how examination procedures and processes are conducted at Lord Grey Academy. This policy is intended to supplement and not replace procedures, processes and regulations specified by the examining bodies and the Joint Council for General Qualifications.

2. Responsibilities

2.1 Principal

The Principal has the overall responsibility for the academy as an Examination Centre.

2.2. Vice Principal - Quality of Education (QofE)

The Vice Principal is responsible for the organisation of the academy's curriculum and therefore for external validation of courses followed at KS4 and KS5. Heads of Faculty, or where appropriate,subject leaders need agreement from the Vice Principal (QoE) before new courses can be implemented. Changes to existing courses (such as changes in an examining body) also require prior agreement.

2.3 Assistant Principal - Achievement and Progress (APAP)

- To line manage the academy's Examinations Officer (EO)
- Analyse the academy's overall results in public examinations
- Present findings to the Principal, staff and governors
- To monitor and evaluate the analysis of examination results by Heads of Faculty
- Manage Controlled Assessments (C.A.) and C.A. calendar
- Manage the organisation of internal examinations

2.4 Office Manager - Student Data & Exams (OM-SD&E)

- To line manage the Data & Examination Officers.
- To line manage the Data & Examination Administrator.
- To delegate tasks as appropriate to Data & Examinations Officer
- To analyse exam results as required by the Assistant Principal

2.5 Examinations Officer (EO)

- To administer all public and internal exam entries
- To organise examination sessions including the use of external invigilators
- To despatch coursework, non-examination assessments and examination papers to exam boards
- To collect and collate exam results
- To conduct appeals, both internally and externally, as specified in the policy

2.6 Director of Vocational Learning (DVL)

- To review and update the relevant policies relating to Vocational qualifications
- To ensure that the policies and procedures relating to Vocational qualifications are administered and adhered to by all relevant staff
- To monitor and evaluate the results of Vocational qualifications

2.7 Heads of Faculty & Subject Leaders – Key Accountabilities

- To obtain approval from the Vice Principal before implementing a new course or changing an existing course
- To oversee the examination entries by the subject leader before submission to the EO
- To manage the completion of Controlled Assessment so that it meets examining bodies' criteria and regulations
- To manage the moderation of Controlled Assessment
- To manage the submission of Controlled Assessment marks and the work itself
- To manage the preparation of internal examinations in the faculty
- To manage the marking of internal examinations using appropriate mark schemes
- To manage the reporting of internal exam data in the faculty
- To analyse the department's overall examination results in public and internal Examinations

3. Entries

Students will be entitled to be entered for a public examination if they have been enrolled on a course where the Vice Principal has agreed with the relevant Head of Faculty or named subject leader that the course leads to an agreed accreditation. In addition the student must have:

- A good attendance record, unless the student and parents have supplied evidence to adequately explain necessary absence. In the case of poor attendance the Assistant Principal (AP) will decide if entry, at the school's cost, is justified or whether a re-charge will be made to parents for the cost of examination entries
- Submitted all necessary assessments
- Be predicted a pass grade

Entries should be submitted by the subject leader by the deadline specified by the EO using the documentation issued by the EO.

In the Sixth Form it is expected that for one year courses AS modules will be completed during Year 12 or the first year of study for the student. If Heads of Faculties or Subject leaders wish to alter this they need to seek agreement from the Vice Principal.

The subject teacher, in conjunction with the subject leader and/or Head of Faculty should decide the tier of entry at KS4. Students will be supplied with a statement of entry in the academic year in which the student will take the exam. This will show the tier the student is entered for and the timing of the exam.

Private candidate entries are not taken on at Lord Grey Academy.

3.1 Amendments

Amendments/withdrawals/late entries may be made by the subject leader via the Assistant Principal up to the date when the EO submits the entries to the examining bodies. Any late amendments/withdrawals/entries will be charged to the relevant faculty. Changes in tier should be submitted to the EO, if these result in additional exam costs they will be charged to the relevant faculty.

Parents should be notified by the subject leader if a student is withdrawn from an examination they were initially entered for in the first round of examination entries.

3.2 Appeals for Internally Assessed Work

Lord Grey Academy is committed to ensuring that whenever its teachers assess a candidates' work for an external qualification, this is done fairly, consistently and in accordance with the specification for the qualification concerned. Assessments should be conducted by staff who have appropriate knowledge, understanding and skills. Candidates' work should be produced and authenticated according to the requirements of the examination board. Where a set of work is divided between staff, consistency should be assured by internal moderation and standardisation. If a candidate believes this may not have happened in relation to their work, they may make use of this appeals procedure. **Note that appeals may only be made against the process that led to the assessment and not against the mark or grade.**

The existence of this procedure is made known to students by a letter issued at the start of examination courses and in this Examinations and Controlled Assessments Policy, which is available for inspection on request.

1. Appeals must be made as soon as possible, and must be made at least two weeks before the end of the last externally assessed paper in the examinations series.
2. Appeals should be made in writing to the EO who will investigate the appeal. If the EO was directly involved in the assessment in question, he/she will appoint another member of staff of similar or greater seniority to conduct the investigation. Likewise if the EO is not able to conduct the investigation for any reason.
3. The person conducting the investigation will decide whether the process used for the internal assessment conformed to the requirements of the examining body and the JCQ. This will be done before the end of the series.
4. The result of the appeal will be made known in writing to the parties concerned, together with any correspondence with the awarding body, and any changes made for the future.
5. A written record of the appeal will be kept and made available to the awarding body at their request. Should the appeal bring any significant irregularity to light, the awarding body will be informed.

After work has been assessed internally it is moderated by the awarding body to ensure consistency between centres. Such moderation occasionally changes the marks awarded for internally assessed work. This is outside the control of the academy and is not covered by

this procedure. Details of the appeals procedure for the relevant awarding body are available from the EO.

Where the Internally Assessed Work forms a component of a Vocational Qualification then the Vocational Appeals Policy applies and supersedes this.

3.3 External Public Examinations

The EO is responsible for conducting the examinations as specified by the examining bodies and other agencies such as the JCQ.

Trained external invigilators will be used to invigilate public examinations. Heads of Faculty and / or subject leaders and subject staff should be present immediately before the start of the exam to deal with any queries by students, but they must not enter the examination room. They should also be available 'on call' during the exam.

Misconduct should be reported immediately to the EO, who will be requested to attend if not present in the examination venue. The EO will decide what action to take in consultation with the Assistant Principal and/or Head of Centre.

The EO will arrange for AHOY/HOY/Attendance Officers to contact absent students to allow them to arrive within the time period specified.

Students are expected in the main school to wear full school uniform during examinations. If students arrive, in the main school, out of school uniform the Head of Year, Assistant Head of Year or other senior member of staff will request that the student changes into full uniform before starting the exam. The Sixth Form must dress smart casual for examinations (no hoodies).

3.4 Projected Grades

Subject staff will be required to supply projected grades for those students they enter for public examinations where required. These projected grades will be informed by a student's Working At Grade which is updated during Data Drops.

3.5 Access Arrangements

It is the responsibility of the SENDCO to liaise with the EO about the arrangements for students with Special Needs. The SENDCO will ensure the EO has all information needed on each student with Special Educational Needs. The Inclusive Learning Faculty will provide the support for students to ensure each receives their approved Access Arrangements. The EO will provide invigilation and the LSA's will cover students who have 1-2-1 invigilation.

The SENDCO, in consultation with the EO, will ensure applications for Access Arrangements (for examinations and Controlled Assessments) are submitted to the examining bodies by the deadline(s) for each series.

The SENDCO should liaise with subject teachers, and where appropriate Heads of Faculty/subject leaders, about students with Special Educational Needs and inform them of their Access Arrangements.

3.6 Special Consideration
The EO will ensure requests for special consideration are submitted to the examining bodies with any supporting documentation.

3.7 Exam Papers
Exam papers will be stored securely as required by the JCQ. The EO will be responsible for checking that the exam papers required by the academy have been received and that the correct papers are distributed to students at the appropriate time.

Unused question papers must not be released to any individual until 24 hours after the awarding body's published finishing time for the examination. Where a student is sitting an examination scheduled for the afternoon session on the following morning under an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until the student has completed that examination.

The early opening and checking of access arrangement students' papers should be conducted in the presence of the EO only with the permission of the exam board, at an agreed time and any further enlargements/modifications completed by the designated person in good time for the start of the exam.

3.8 Absences
Students who do not attend public examinations for which they have been entered (and have received a statement of entry and timetable) will be charged the full cost of the exam entry unless a decision to waive fees has been agreed by the Principal or Vice Principal.

3.9 Results
The EO, and any other member of staff assisting in the process, will keep all exam results completely confidential until the official release day of results. students will receive their results in such a way that they can keep them private if they so wish.

Results will be accessible to staff via the exam boards websites on the official release day. Subject staff will assist Heads of Faculty/Department in analysing results as required.

The OMSD&E and Assistant Principal, will provide a detailed analysis of whole academy exam results as required by the Principal and governors. The Assistant Principal will make a presentation to staff on public exam results at the start of the new academic year and to governors as required.

Heads of Faculty will produce detailed analyses of results, and strategies on how to make further improvements by the deadline set by the Assistant Principal. This report will form the main focus of the Raising Standards Meetings which take place in the Autumn term.

3.10 Review of Results
Students who wish to query an exam result must discuss this fully with their subject teacher and Head of Faculty. The EO must make the student aware of the different options available to them.

The student will bear the full cost of the query unless this has been instigated by the subject teacher and in agreement with the subject leader. In this case the academy will bear the cost, this will be charged to the relevant faculty. Teaching staff cannot query students' results without the written permission of the student(s). Students will be informed in writing about the outcomes of all enquiries.

If a review results in a change of grade then the payee will receive a refund (from the awarding body). The EO will liaise with Heads of Faculty/Department to process any RoR.

For further information, please see **Appendix 1 - Post Results Services**

3.11 Re-sits

Sixth Form students who wish to resit public examinations need to discuss the issue fully with subject staff. They must complete relevant documentation issued by the EO, by the date specified, and obtain the permission of their subject teacher. The student must bear the full cost of the resits.

Resits will be processed by the EO by the dates set by the examining bodies.

3.12 Certificates

The EO collates students' exam certificates from the different examining bodies. Students can collect their certificates from Reception where a signature is required as acknowledgement of receipt.

According to examining body regulations an academy can return uncollected certificates to the issuing examining body after one year.

3.13 Internal Examinations

The EO is responsible for organising the academy's internal examinations under the direction of the Assistant Principal.

The EO will, through liaising with the Assistant Principal and Heads of Faculty/subject leaders, organise exam timetables, student seating arrangements and invigilation requirements.

Heads of Faculty and/or subject leaders will organise the reproduction of papers and ensure the EO has them by the deadline set by the EO at the very latest.

Heads of Faculty and /or subject leaders will ensure that internal examinations are marked using appropriate mark schemes and that they are internally moderated and standardised. Marks will be collated within each Faculty, entered into Bromcom and distributed to students as a statement of results.

4. Non-Examination Assessments (NEA): Staff Responsibilities

4.1 Assistant Principal - Achievement and Progress

The Assistant Principal is accountable for the safe and secure conduct of non-examination assessments and will ensure assessments comply with JCQ (Joint Council for Qualifications) guidelines and awarding bodies' subject-specific instructions in liaison with the Examinations Officer (EO).

4.2 Director of Vocational Learning

The Director of Vocational learning, in liaison with the Assistant Principal and Examinations Officer, will ensure assessments comply with JCQ (Joint Council for Qualifications) guidelines and awarding bodies' subject-specific instructions for all NEAs which form a component of a Vocational Qualification.

4.3 Heads of Faculty / Subject leaders

- Decide on the awarding body and specification for a particular GCSE or qualification.
- Organise standard internal marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Where appropriate, develop new assessment tasks or contextualise sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.
- Understand and comply with the general guidelines contained in the JCQ publication Instructions for conducting non-examination assessments 2025-2026 or JCQ publication Instructions for conducting non-examination assessments 2025-2026 (Vocational) as appropriate
- Understand and comply with the awarding body specification for conducting non-examination assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the examination office details of all unit codes for non-examination assessments.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for assessments and ensure that such materials are stored securely at all times.
- Supervise assessments at the specified level of control.
- Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- Inform the EO and Cover Co-ordinator of any additional support required in classrooms to ensure adherence to the specified level of control.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the marking schemes provided by the awarding body.

- Submit accurate marks and samples to the EO by the required deadline, keeping a record of the marks awarded.
- Retain students' work securely at all times.
- Post-completion, retain students' work securely until the closing date for enquiries
- about results. In the event that an enquiry is submitted, retain students' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to Lord Grey Academy as examinations centre.
- Inform the Inclusive Learning Faculty, in advance of assessments, of students entitled to Access Arrangements.

4.3 Examination Officer (EO)

- At the start of the academic year, coordinate with Heads of Faculty/Subject leaders to create a schedule/timetable of non-examination assessments.
- Create, publish and update an internal appeals policy for non-examination assessments.
- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series, where applicable.
- Is responsible for receipt, safe storage and safe transmission of confidential materials,whether in CD or in hard copy format and to sign in and out of the above to relevant staff.
- Collate controlled assessment marks and submit to the Examining Bodies before deadlines.
- Arrange suitable accommodation where controlled assessment can be carried out when requested.
- Provide the Assistant Principal with appropriate analysis of results from non-examination assessments.

5. Malpractice Protocol and Procedures

This is reviewed and updated annually to ensure that any malpractice at Lord Grey Academy is managed in accordance with current requirements and regulations and complies with the JCQ regulations and guidance for Approved Centres.

Details of the protocols and procedures can be found in **Appendix 2 - Malpractice and Maladministration.**

Where the malpractice takes place in a component of a Vocational Qualification then the Vocational Malpractice Policy applies and supersedes this.

Appendix 1 - Post Results Services

Lord Grey Academy will ensure candidates are aware of the arrangements for post-results services prior to the issue of results.

Members of the leadership team will be available immediately after the publication of results. Candidates will be informed that all post-results services requests must be made through the school, via the exams office.

All candidates must provide their written consent for clerical re-checks, reviews of marking, and any subsequent appeal and access to scripts services offered by the awarding bodies after the publication of results.

The centre will:

- submit requests electronically for clerical re-checks, reviews of marking, review of moderation and access to scripts by the published deadline(s) in accordance with the JCQ publication Post-results services
- submit requests for appeals in accordance with the JCQ publication A guide to the awarding bodies' appeals processes
- ensure outcomes of clerical re-checks, reviews of marking, reviews of moderation, and appeals are made known to candidates as soon as possible
- have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an online application for a clerical re-check, a review of marking, a review of moderation or an appeal

All deadlines will be communicated to centre staff and candidates prior to the release of results. A full breakdown of costs for post-results will be provided, along with the relevant forms that are required to be completed, prior to the release of results. Forms received before the release of results will not be processed.

The cost will be the responsibility of the candidate, unless the recommendation for a post-results service has been instigated by the centre. All fees must be received prior to the post-result service being submitted to the relevant awarding body. If the post-result service results in an overall grade change the fee will be refunded.

Candidate Consent

Written candidate consent (also acceptable by email - this must be using the candidate's school email address) for clerical re-checks and reviews of marking must be obtained as marks and grades may be lowered through these services.

Candidate consent/permission will also always be obtained where the centre intends to request a candidate's script. Evidence of candidate consent will be retained for the required period.

All consent forms must be received by the internal deadline to allow time for these to be submitted to the awarding bodies prior to their deadlines.

Submitting Requests to the Awarding Body

All requests/applications for RORs and ATS will be submitted by the Exams Officer online via the individual awarding body secure extranet site by the relevant deadline.

A spreadsheet will be kept of all requests submitted, which will be updated with the relevant outcome once received from the awarding body. This will also be used to prepare purchase orders for Finance prior to the invoices being received.

Dealing with Outcomes

Access to Scripts (ATS)

As soon as scripts are available to download/original copies received, these will be provided to the candidate/teachers are required.

Review of Results (ROR)

The outcome of a review is confirmed to the centre by the awarding body. The awarding body will provide a reason for the decision of a review of marking if the mark has changed. Candidates will be informed as soon as possible on the outcome of a review of results.

Post-Results - Details of the service

Post-results service	Details of the service
RoR Service 1: Clerical re-check	This service will include the following checks: ● that all parts of the script have been marked ● the total of marks ● the recording of marks Only Service 1 clerical re-checks can be requested for objective tests (multiple choice tests).
RoR Service 1 with a copy of re-checked script	
RoR Service 2: Review of marking	This is a post-results review of the original marking to ensure that the agreed mark scheme has been applied correctly. Reviews **will not** re-mark the script. They will only act to correct any errors identified in the original marking. This service will include: ● the clerical re-checks detailed in Service 1 ● a review of marking as described above
RoR Service 2 with copy of reviewed script	
RoR Service 3: Review of moderation (This service is not available to individual candidates)	This is a review of the original moderation to ensure that the assessment criteria have been fairly, reliably and consistently applied. It **is not** a re-moderation of candidates' work.

ATS: Copy of script to support **review of marking**	This is a priority service that ensures copies of scripts are returned in sufficient time to allow decisions to be made whether a non-priority review of marking should be applied for
ATS: Copy of script to support **teaching and learning**	This is a non-priority service to request copies of scripts to support teaching and learning

Internal appeals procedure

Purpose of the procedure

The purpose of this procedure is to confirm the arrangements at Lord Grey Academy for dealing with candidate appeals relating to any centre decision not to support a clerical re-check, review of marking, review of moderation or an appeal.

This procedure ensures compliance with JCQ regulations (GR 5.13) which state that centres must have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an online application for a clerical re-check, a review of marking, a review of moderation or an appeal.

Centre actions in response to a concern about a result

Where a concern is expressed that a particular result may not be accurate, Lord Grey Academy will:

- Look at the marks awarded for each component part of the qualification alongside any mark schemes, relevant result reports, grade boundary information etc., when made available by the awarding body, to determine if the concern may be justified

For written components that contributed to the final grade, Lord Grey Academy will:

- where a place at university of college is at risk, **consider** supporting a request for a Priority Service 2 review of marking
- In all other instances consider accessing the script by:
    - (where the service is made available by the awarding body) requesting a priority copy of the candidate's script to support a review of marking by the awarding body deadline or
    - (where the option is made available by the awarding body) viewing the candidate's marked script online to conifer if requesting a review of marking is appropriate
- Collect written consent/permission from the candidate to access the script
- On access to the script, consider if it is felt that the agreed mark scheme has been applied correctly in the original marking and if the centre considers there are any errors in the marking
- Support a request for the appropriate Review of Results service (clerical re-check or review of marking) if any error is identified and this has impacted the overall grade

- Collect written consent from the candidate to request the Review of Results service before the request is submitted
- Where relevant, advise an affected candidate to inform any third party (such as a university or college) that a review of marking has been submitted to an awarding body

For moderated components that contributed to the final grade Lord Academy will:

- Confirm that a review of moderation cannot be undertaken on the work of an individual candidate or the work of candidates not in the original sample submitted for moderation
- Consult the moderator's report/feedback to identify any issues raised
- Determine if the centre's internally assessed marks have been accepted without change by the awarding body - if this is the case, a Review of Results service 3 (Review of moderation) will not be available
- Determine if there are any grounds to submit a request for a review of moderation of all candidates in the original sample

Candidate consent

Lord Grey Academy will:

- Acquire written candidate consent (accepting informed consent via candidate email) in all cases before a request for a Review of Results service 1 or 2 (including priority service 2) is submitted to the awarding body
- Acquire informed candidate consent to confirm the candidate understands that the final subject grade and.or mark awarded following a clerical re-check or a review of marking, and any subsequent appeal, may be lower than, higher than, or the same as the result which was originally awarded
- Only collect candidate consent after the publication of results.

Centre actions in the event of a disagreement (dispute)

Where a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking or a review of moderation, Lord Grey Academy will:

- For a review of marking (Review of Results priority service 2), advise the candidate a review may be requested by providing informed written consent (and the required fee) for this service to the centre by the deadline set by the centre
- For a review of marking (Review of Results service 1 or 2) first advise the candidate to access a copy of their script to support a review of marking by providing written permission (and any required fee) for the centre to access the script from the awarding body
- After accessing the script to consider the marking, inform the candidate that if a request for a review of marking (Review of Results service 1 or 2) is required this must be submitted by the deadline set by the centre by providing informed written consent (and the required fee) for the centre to request the service from the awarding body
- Inform the candidate that a review of moderation (Review of Results service 3) cannot be requested for the work of an individual candidate or the work of a candidate not in the original sample.

Appeals

Following a Review of Results outcome, an external appeals process is available if the Head of Centre at Lord Grey Academy remains dissatisfied with the outcome and believes there are grounds for appeal.

The JCQ publications Post-Results Services and JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes) will be consulted to determine the acceptable grounds for a preliminary appeal.

When the Head of Centre is satisfied after receiving the Review of Results outcome, but the candidate (or parent/carer) believes there are grounds for a preliminary appeal to the awarding body, an internal appeal may be made directly to the centre.

Candidates or parents/carers are not permitted to make direct representations to an awarding body. Following this, the head of centre's decision as to whether to proceed with a preliminary appeal will be based upon the acceptable grounds as detailed in the JCQ Appeals Booklet.

To submit an internal appeal:

- An internal appeals form should be completed and submitted to the centre within the time specified by the centre from the notification of the outcome of the review of the result
- Subject to the head of centre's decision, the preliminary appeal will be processed and submitted to the awarding body within the required 30 calendar days of the awarding body issuing the outcome of the review of results process
- Awarding body fees which may be charged for the preliminary appeal must be paid to the centre by the appellant before the preliminary appeal is submitted to the awarding body (fees are available from the exams officer)
- If the appeal is up held by the awarding body, this fee will be refunded by the awarding body and repaid to the appellant by the centre

Appendix 2 - Malpractice and Maladministration

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. (SMPP 1)

This document 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 students
    - 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

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

General principles

In accordance with the regulations Lord Grey Academy 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 student 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)

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)

Examples listed below are non-exhaustive and at the discretion of the awarding bodies.

- a breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination or assessment rules and regulations;
- the unauthorised use of alternative electronic devices or technology during remote assessment and remote invigilation;
- accessing the internet, online materials or AI tools during remote assessment and remote invigilation, where this is not permitted;
- failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
- collusion: working collaboratively with others, beyond what is permitted;
- copying from another candidate (including the use of technology to aid the copying);
- allowing work to be copied, e.g. posting work on social networking sites prior to an examination/assessment;
- the deliberate destruction of another candidate's work;
- disruptive behaviour in the examination room or during an assessment session (including the use of offensive language)

Centre Staff malpractice

'Centre staff malpractice means malpractice committed by:

- a member of staff (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, or Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe (SMPP 2)

Examples listed below are non-exhaustive and at the discretion of the awarding bodies.

- Breaches of security
- Deception
- Improper assistance to candidates
- Failure to co-operate with an investigation
- Maladministration

Preventing malpractice

Lord Grey Academy 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)

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 (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 candidates or a member of staff) will be informed of the rights of accused individuals (SMPP 5.32)

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)

- Form JCQ/M1 will be used when reporting candidates cases; for centre staff, form JCQ/M3 will be used (SMPP 5.36)
- 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)

Where malpractice is proven, Lord Grey Academy will apply the following penalties/sanctions:

- Inform the candidate that the work is not being accepted on the grounds of Plagiarism/Malpractice
- Inform the candidate that they have 7 calendar days to re-submit the work
- Inform the candidate that any subsequent occurrence of Plagiarism/Malpractice will result in NO GRADE being awarded for the assignment.

In the event that an allegation is made of either candidate or staff malpractice, the first step is to inform the Head of Centre and Assistant Principal Achievement and Progress who will provide guidance on next steps to be taken.

In the event that a candidate has been accused of plagiarism, the following steps should be taken:

- **If the malpractice has taken place in a component forming part of a Vocational qualification then apply the procedures as set out in the Vocational Malpractice Policy**
- If evidence is in an electronic format, care should be taken to retrieve copies of the work from the candidate's work area
- If the work is in a paper format, it should be photocopied and the original should be kept in a safe place
- A discussion should take place with the candidate to outline the concerns and to present any information gathered to the candidate in question

- If the candidate has not yet submitted the work for assessment, a reminder of the consequences of submitting plagiarised work should be given verbally
- If the candidate has submitted the work and assigned a submission form to accept that all work is their own, the candidate should be invited to a meeting with the assessor and the course leader. If the Leader Verifier/course leader is the assessor, the Vocational Lead/subject lead can be asked to attend the meeting too. At this meeting if it is established that the work submitted is not the candidate's own they will be given 7 days to resubmit a rewritten piece of work alongside another declaration of authenticity. The candidate will also be given the opportunity to consider whether they wish to withdraw any other work submitted for assessment which is not authentic. This will be explained verbally and in writing and a letter will be sent home to parents/guardians
- If the re-submitted work also shows signs of plagiarism, it will not be accepted and the candidate will not be able to achieve certification on that unit
- If any further incidents of plagiarism are established, then the candidate will not be able to certificate on the unit where it has taken place. This may result in the candidate being unable to complete the qualification
- If the candidate or their parent chooses to appeal against any of these actions, they must do so in writing to the Head of Centre, Principal Samantha Satyanadhan. At this point the examination board will be informed.

Great care should be taken to explain what plagiarism is and what the consequences of it are to candidates during the induction process but also at regular points throughout the academic year. Students must be taught to reference work properly and credit any sources that they use.

If a member of staff is accused of malpractice, the academy's disciplinary process will be put into action and the examination board will be informed of the outcome. CPD and full training of vocational assessors should make it clear what constitutes malpractice and how it should be avoided.

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

Lord Grey Academy will:

- Provide the individual with information on the process 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