



OLD BUCKENHAM  
HIGH SCHOOL

**Old Buckenham High School  
Malpractice Policy 2025 - 2026**

<b>Centre name</b>	Old Buckenham High School
<b>Centre number</b>	18425
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**Version History**

Version	Date	Author	Reason for change(s)
1	01.09.2025	Rachel Pickering	
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**Policy Authors**

Role	Name
Exams Officer	Rachel Pickering
Headteacher	Paul Beale

This policy is reviewed and updated annually to ensure that any malpractice at Old Buckenham High School is managed in accordance with current requirements and regulations.

Reference in the policy to **GR, SMPP & ICE** relate to relevant sections of the current JCQ documents [General Regulations for Approved Centres](#), [Suspected Malpractice: Policies and Procedures](#) and [Instructions for Conducting Non-Examination Assessments 2025-2026](#)

## Introduction

### What are malpractice and maladministration?

‘Malpractice’ and ‘maladministration’ are distinct but related concepts, the common theme being that they involve a failure to follow the rules of an examination or assessment. This policy and procedure use 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 officer, 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 non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the completion of any examination. (SMPP 2)

Candidate malpractice examples (please note this is not an exhaustive list):

- plagiarism: unacknowledged copying from, or reproduction of, third party sources or incomplete referencing (including the internet and artificial intelligence (AI) tools)
- collusion by working collaboratively with other candidates to produce work that is submitted as an individual candidate's work
- copying (including the use of ICT to aid copying)
- deliberate destruction of another's work
- disruptive behaviour in the examination room or during an assessment session (including the use of offensive language)
- false declaration of authenticity in relation to the contents of a portfolio or coursework
- impersonation by pretending to be someone else to produce the work for another or arranging for another to take one's place in an assessment/examination/test.
- Use of an electronic device or mobile phone which is not permitted to be used during an examination or assessment.
- Being in possession of any unauthorised material during an examination or assessment such as notes, dictionaries, smart glasses, ear buds; whether used or not.

(SSMP Appendix 2, Part 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)

Centre staff malpractice examples, please note this is not an exhaustive list:

- failing to keep examination material secure prior to an examination, including digital examination materials

- failure to provide the correct access arrangements to candidates where approval has been granted
- tampering with candidate scripts, controlled assessments, coursework or non-examination assessments after collection and before despatch to the awarding body/examiner/ moderator (this would include reading candidates' scripts or photocopying candidates' scripts prior to despatch to the awarding body/examiner);
- assisting candidates in the production of controlled assessment, coursework, non-examination assessments or portfolios beyond that permitted by the regulations
- producing falsified witness statements, for example for evidence the candidate has not generated
- permitting candidates in an examination to access prohibited materials (dictionaries, calculators etc.)
- prompting candidates in an examination/assessment by means of signs or verbal or written prompts
- misusing the conditions for special candidate requirements, for example where candidates are permitted support, such as a scribe, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- falsifying records/certificates, for example by alteration, substitution, or by fraud

(SSMP Appendix 2, Part 1)

### **Centre malpractice**

'Centre malpractice' normally involves malpractice where there is an element of systemic failure, a breach in policies or widespread malpractice such that a centre-level sanction is appropriate (SMPP 2)

Centre staff malpractice examples (please note this is not an exhaustive list):

- centre failure to notify, investigate and report to an awarding body all allegations of malpractice or suspected malpractice
- centre failure to ensure the secure storage of examination materials in accordance with General Regulations

(SSMP Appendix 2, Part 1)

## 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 1.9). (SMPP 2).

All suspected malpractice incidents relating to staff, centre & candidate (after a candidate has signed the declaration of authentication) malpractice must be reported to the relevant awarding body.

## Purpose of the policy

To confirm Old Buckenham High School has in place for inspection a policy 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 Old Buckenham High School 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 current JCQ document **Suspected Malpractice - Policies and Procedures** and provide such information and advice as the awarding body may reasonably require (GR 5.11)

## Preventing malpractice

Old Buckenham High School has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ document **Suspected Malpractice: Policies and Procedures**. (SMPP 4.3)

This includes ensuring that 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 2025 - 2026](#)
- [Instructions for Conducting Examinations \(ICE\) 2025 - 2026](#)
- [Instructions for Conducting Coursework 2025-2026](#)
- [Instructions for Conducting Non-Examination Assessments 2025-2026](#)
- [Access Arrangements and Reasonable Adjustments 2025-2026](#)
- [A Guide to the Special Consideration Process 2025-2026](#)
- [Suspected Malpractice: Policies and Procedures](#)
- [Plagiarism-in-Assessments](#)
- [AI Use in Assessments: Protecting the Integrity of Qualifications](#)
- [Post Results Services June 2025 and November 2025](#)
- [A Guide to the Awarding Bodies' Appeals Processes 2025-2026](#)
- [Guidance for Centres on Cyber Security](#)

(SMPP 3.2)

Staff are directed to the documents cited above biannually, in September, at the beginning of the academic year, and again in April, ahead of final examinations for year 11 candidates.

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

At Old Buckenham High School, candidates are advised during assemblies by their Head of Year/SLT and form time with their Form Tutor of what malpractice is, and how committing malpractice could impact them in line with JCQ policy guidance. This happens bi-annually for Year 11 students, in September at the beginning of the academic year and again in April ahead of their final examinations.

Candidates are informed of the 'Warning to Candidates' and 'Unauthorised Items' posters during assemblies, by their Head of Year/SLT and form time with their Form Tutor; additionally, these are displayed outside the entrance of all exam rooms.

Candidates are issued with JCQ's Information for Candidates documents which state what candidates must and must not do during written exams, on-screen tests, coursework and non-examined assessments. They are also issued with advice pertaining to social media usage in relation to examinations & conduct.

At the beginning of every written examination, the suggested wording for the invigilator's announcement (ICE Appendix 3) is read to all students, this informs candidates of what they must and must not do during the examination and whilst in the exam room.

For any assessments, internal or external, that could be affected by the use of AI; teaching staff are directed to JCQ's AI Use in Assessments: Protecting the Integrity of Qualifications and candidates will be informed by their subject teacher prior to commencing the assessment of:

- the regulations that state **if** and/or **when** AI technology may be used
- consequences of the misuse of AI technology

## **AI use in assessments**

### **What is AI?**

AI or artificial intelligence is the application of computer systems able to perform tasks or produce output normally requiring human intelligence, especially by applying machine learning techniques to large collections of data.

AI, can be a useful resource for many, from different tools that can generate text to images to music, however, as has always been the case, candidates must submit their own, independent work, otherwise they could be committing malpractice.

Candidates complete their written examinations and a large number of other assessments under close staff supervision with limited access to authorised materials and no permitted access to the internet. Therefore, the delivery of these assessments

should be unaffected by developments in AI tool. Where a candidate is permitted to use a laptop or similar device during an examination, the centre provides specific examination laptops that do not feature AI tools or permit access to the internet.

There are some assessments, e.g. NEA (Non-Examined-Assessment), that candidates are permitted to access the internet for example, during research stages. Teachers who are acting as assessors and/or internal moderators will have been directed towards JCQ's guidance and be aware of how to follow it successfully.

### **Appropriate AI use & risks**

Candidates may decide to use AI tools to gather research for an assessment however to prevent malpractice, candidates must:

- acknowledge the use of the AI tool used and the date the content was generated,
- retain a copy of the question(s) the AI tool was asked and generated content received in response in a non-editable format, e.g. screenshot, and a brief explanation of how it was used and submit this along with the work submitted for assessment,
- where AI tools reference sources, candidates must verify these sources; where the AI tool does not reference sources, candidates must independently verify the content generated,

In using AI, candidates should be aware of the potential risks:

- where AI tools have been used and referenced, such that they have not met the marking criteria independently, they will not be rewarded,
- AI tools may provide incorrect, inaccurate or biased information,
- AI responses have been developed to respond to the user, therefore the content generated could be widely varied dependant on the language and tone of the questions posed.

### **AI misuse**

Students must be able to demonstrate that the final submission is the product of their own independent work and independent thinking: AI misuse is where a student has used one or more AI tools but has not appropriately acknowledged this use and has submitted work for assessment when it is not their own and constitutes as plagiarism. Examples of AI misuse include, but are not limited to, the following:

- Copying or paraphrasing sections of AI-generated content so that the work submitted for assessment is no longer the student's own



- Copying or paraphrasing whole responses of AI-generated content
- Using AI to complete parts of the assessment so that the work does not reflect the student's own work, analysis, evaluation or calculations
- Failing to acknowledge use of AI tools when they have been used as a source of information
- Incomplete or poor acknowledgement of AI tools
- Submitting work with intentionally incomplete or misleading references or bibliographies.

Candidates will be issued with the JCQ Information for candidates - AI (Artificial Intelligence and assessments) or prior to completing their work/prior to signing the declaration of authentication.

Staff will be aware of the appropriate use of AI, their role in managing the risk of AI misuse, indicators that suggest a candidate has misused AI in an assessment and of the suggested methods to authenticate a candidate's own work as cited in JCQ's [Instructions for Conducting Coursework 2025-2026](#) and [AI Use in Assessments: Protecting the Integrity of Qualifications](#).

Staff are directed to the documents cited above biannually, in September, at the beginning of the academic year, and again in April, ahead of final examinations for year 11 candidates.

## **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. All staff have a responsibility to report any potential malpractice that they may identify to maintain the integrity of the qualification. (SMPP 4.3)

Suspected malpractice should be reported to the Exams Officer as soon as feasibly possible, who will report it to the Head of Centre. Witness statements will be collected on the relevant JCQ Forms by the Exams Officer (Appendix 1 – 3) and signed.

### **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 document 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)
- Candidate malpractice offences relating to the content of work (i.e. inappropriate/offensive content, copying/collusion, plagiarism (including AI misuse) and/or false declaration of authentication) which are discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication, do not need to be reported to the awarding body. Instead, they will be dealt with in accordance with the centre's internal procedures.
- Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment where the offence does not relate to the content of candidates' work (e.g. possession of unauthorised materials, breach of assessment conditions) or where a candidate has signed the declaration of authentication, must be reported using a JCQ M1 to the relevant awarding body. If, at the time of the malpractice, there is no entry for that candidate (who the centre intended to enter), the centre is required to submit an entry by the required entry deadline. (SMPP 4.5)
- If, in the view of the investigator, there is sufficient evidence that an individual may have committed malpractice, that individual (the candidate or the member of staff) will be informed of all the required information and the accused individual informed of their rights and responsibilities (SMPP 5.33-3.4)
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report to the relevant awarding body summarising the information obtained and actions taken, 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)
- 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)

All incidents of malpractice, including suspected malpractice will be logged internally, including incidents regarding AI misuse and improper assistance.

## Appeals

### Appeals against decisions made in cases of malpractice

Internal candidates and/or their parents or carers are not entitled to appeal directly to the awarding body. Representations must be made to the head of centre where the candidate was entered or registered. The head of centre's decision as to whether to submit an application for an appeal is subject to the centre's internal appeals arrangements. Only in the most exceptional circumstances, for example permanent centre closure, will an awarding body accept an appeal directly from an internal candidate. The Head of Centre must complete form JCQ/App1 (Appendix 4) and submit to the relevant awarding body.

(JCQ's A guide to the awarding bodies' appeals processes)

Where a candidate disagrees with the outcome of a malpractice decision Old Buckenham High 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 document [A Guide to the Awarding Bodies' Appeals Processes](#)

### Internal appeals against decisions made in cases of malpractice

The JCQ Information for candidates' documents (Coursework, Non-examination assessments, Social media) which are distributed to all candidates prior to assessments taking place, inform candidates of the things they must and must not do when they are completing their work.

The centre ensures that those members of teaching staff involved in the direct supervision of candidates producing work for assessments are aware of the potential for malpractice.

Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of

authentication does not need to 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.

If there are doubts about the authenticity of the work of a candidate or irregularities are identified in a candidate's work before the candidate has signed the declaration of authentication/authentication statement (where required) and malpractice is suspected, Old Buckenham High School will:

Follow the authentication procedures and/or malpractice instructions in the relevant JCQ document (Instructions for conducting non-examination assessments/Instructions for conducting coursework) and any supplementary guidance that may be provided by the awarding body. Where this may lead to the decision to not accept the candidate's work for assessment or to reject a candidate's coursework on the grounds of malpractice, the affected candidate and their parents or carers will be informed of the decision.

If a candidate who is the subject of the decision disagrees with the decision and wishes to appeal, they should follow the guidance provided in [OBHS Internal Assessment Appeals Policy](#)

# Appendix 1

## JCQ M1 Suspected candidate malpractice



### JCQ M1

#### Suspected candidate malpractice

##### Confidential

This form is to be used by centres to report instances of suspected candidate malpractice.

For guidance on how to complete this form please see page 6 of this form.

##### Awarding body

##### Date of incident

##### Time (AM/PM session)

##### Centre number

##### Centre name and address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

Head of centre's email address	Head of centre's telephone number			
<input type="text"/>	<input type="text"/>			
<table border="1"><tr><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td></tr></table>		<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>		

**Candidate number(s) Candidate name(s)**

█	█
█	█
█	█
█	█
█	█
█	█
█	█

**Examination/assessment details**

<b>Qualification or specification code</b>	<b>Qualification or specification title</b>
█	█
<b>Component/unit code/batch number</b>	<b>Component/unit title</b>
█	█

**Name(s) of invigilator(s)/assessment personnel or other witness/witnesses**

<b>Name</b>	<b>Role</b>
█	█
█	█
█	█

Complete Sections A, B, C and D as indicated.

**Section A (All qualifications)**

Describe the nature of the suspected candidate malpractice including details as to how it was discovered, by whom and when.

█
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## Section B (Vocational qualifications only)

Describe how the candidates were made aware of the examination or assessment regulations.

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## Section C (All general qualifications and other qualifications if applicable)

### Examinations

Was the <i>Warning to Candidates</i> displayed outside the examination room? (either by means of a projector or in hard copy paper format)	YES	<input type="checkbox"/>
	NO	<input type="checkbox"/>
Had the candidate(s) been issued with a copy of the <i>Information for candidates?</i> (either electronically or a paper version)	YES	<input type="checkbox"/>
	NO	<input type="checkbox"/>
Were candidates reminded of examination regulations at the beginning of this particular examination?	YES	<input type="checkbox"/>
	NO	<input type="checkbox"/>

### Coursework/non-examination assessment

Had the candidate(s) been issued with a declaration of authentication?	YES	<input type="checkbox"/>
	NO	<input type="checkbox"/>
Had the candidate(s) signed the declaration of authentication stating that all work completed was the candidate's own?	YES	<input type="checkbox"/>
	NO	<input type="checkbox"/>
Was the <i>Information for candidates</i> issued to the candidate(s) prior to signing the declaration of authentication?	YES	<input type="checkbox"/>
	NO	<input type="checkbox"/>
Was the <i>Information for candidates - AI (Artificial Intelligence and assessments)</i> or a similar centre document issued to the candidate(s) prior to signing the declaration of authentication?	YES	<input type="checkbox"/>
	NO	<input type="checkbox"/>

## Section D (All qualifications)

If the incident involves disruptive behaviour, did the candidate's behaviour cause disturbance to other candidates?

YES

NO

If the answer to the above question is yes and you wish to request special consideration for other candidates, please submit an application for special consideration in the normal way.

If the incident involves the introduction of unauthorised material, is a copy/image of the unauthorised material enclosed?

YES

NO

If the answer to the above question is no, please give a detailed description of the unauthorised material and an explanation why a copy/image has not been provided.

If the case involves plagiarism, please provide full details (i.e. title, author, edition, website, AI tool etc.) of the material plagiarised and include copies.

If there are any other details you feel are relevant to this allegation, including mitigating circumstances, please give further information below.





### Supporting information

Please indicate below the supporting information submitted with this report. All relevant information and materials **must** be submitted at this time. Information submitted subsequently may not be considered.

**Please ensure that all supporting documents are scanned and attached (preferably as PDF documents) to the same email.**

Information submitted with this form	
Statement(s) from invigilator(s)	<input type="checkbox"/>
Statement from teacher/tutor/head of subject/assessor/internal verifier	<input type="checkbox"/>
Statement from examinations officer	<input type="checkbox"/>
Statement(s) from candidate(s)	<input checked="" type="checkbox"/>
Statement from employer	<input type="checkbox"/>
Seating plan of examination room	<input type="checkbox"/>
Unauthorised material removed from the candidate(s)	<input type="checkbox"/>
Copies of sources of plagiarised material	<input type="checkbox"/>
Assessment and Internal Verification or Moderation records	<input type="checkbox"/>
Other (please give details)	<input type="checkbox"/>

If statement(s) from the candidate(s) is/are not enclosed, please put a cross in this box to indicate that the candidate(s) has/have been given the opportunity to make a statement, but has/have chosen not to do so.

### Report of suspected candidate malpractice

This checklist is intended to assist centres when completing a report of suspected candidate malpractice.

**It is the responsibility of the head of centre to ensure that these requirements have been met.**

Reference is made to the requirements detailed in the JCQ document:

*Suspected Malpractice - Policies and Procedures*

<http://www.jcq.org.uk/exams-office/malpractice>

Please indicate by putting a cross in the appropriate box for the following points:

		Yes	No
1.	The candidate(s) has/have been informed of their individual responsibilities and rights ( <b>section 5.33</b> ).	<input type="checkbox"/>	<input type="checkbox"/>
2.	A candidate or candidates accused of malpractice:		
	<ul style="list-style-type: none"> <li>has/have been informed (preferably in writing) of the allegation made against him or her;</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>has/have been advised that a copy of the JCQ document <i>Suspected Malpractice: Policies and Procedures</i> can be found on the JCQ website;</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>know(s) what evidence there is to support the allegation;</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>know(s) the possible consequences should malpractice be proven;</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>has/have had the opportunity to consider their response to the allegations (if required);</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>has/have had an opportunity to submit a written statement;</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>has/have had an opportunity to seek advice (as necessary) and to provide a supplementary statement (if required);</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>has/have been informed of the applicable appeals procedure should a decision be made against him or her;</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>has/have been informed of the possibility that information relating to a serious case of malpractice may be shared with other awarding bodies, the regulators and other appropriate authorities.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>

Please provide further details if it has been necessary to tick No in the checklist:

--

To be completed by the head of centre

Name (please print)	<input type="text"/>	Tel no.	<input type="text"/>
Signature*	<input type="text"/>	Date	<input type="text"/>

\* Submission by email from the centre's registered email address will be accepted in place of a signature.

## NOTES ON THE COMPLETION OF FORM JCQ/M1

This form **must** be used by the head of the centre to notify the appropriate awarding body of an instance of suspected candidate malpractice in the conduct of examinations or assessments. It can also be used to provide a report on investigations into instances of suspected malpractice.

**In order to prevent the issue of erroneous results and certificates, it is essential that the awarding body concerned is notified immediately of instances of suspected candidate malpractice.**

Full details of the procedures which **must** be followed when investigating cases of suspected malpractice can be found in the JCQ document: *Suspected Malpractice in Examinations and Assessments: Policies and Procedures*: <http://www.jcq.org.uk/exams-office/malpractice>

Reports on investigations from centres **must** include:

- a detailed account of the circumstances surrounding the suspected candidate malpractice including, in the case of disruptive behaviour, an indication as to whether the behaviour continued after warnings were given, and whether the candidate was removed from the examination room/assessment situation or not;
- the procedures for advising candidates of the regulations concerning the conduct of examinations and/or assessments;
- a report of any investigation carried out subsequently by the centre;
- signed and dated statements from the staff concerned (e.g. invigilators, assessors, teachers, tutors, etc.) on the centre's official letterheaded paper;
- signed and dated statements from the candidate(s) concerned or a clear indication that they have been given the opportunity to make a statement; (In circumstances which make it inappropriate to interview the candidate, the centre should discuss the case in confidence with the awarding body.)
- seating plans of the examination room (if appropriate).

This form is intended to be used as the basis for the report.

**This form and supporting information should be submitted by email.**

**All supporting documents should be scanned and attached (preferably as PDF documents) to the same email, and the originals retained within the centre.**

The awarding body concerned will acknowledge receipt of this form.

**The form and supporting documentation must be sent to:**

<b>AQA</b> <a href="mailto:irregularities@qa.org.uk">irregularities@qa.org.uk</a>	
<b>CCEA</b> <a href="mailto:malpractice@ccea.org.uk">malpractice@ccea.org.uk</a>	
<b>City &amp; Guilds</b> <a href="mailto:investigationandcompliance@cityandguilds.com">investigationandcompliance@cityandguilds.com</a>	
<b>NCFE</b> <a href="mailto:providerassurance@ncfe.org.uk">providerassurance@ncfe.org.uk</a>	
<b>OCR</b> <a href="mailto:malpractice@ocr.org.uk">malpractice@ocr.org.uk</a>	
<b>Pearson</b> <a href="mailto:candidatemalpractice@pearson.com">candidatemalpractice@pearson.com</a>	
<b>WJEC</b> <a href="mailto:malpractice@wjec.co.uk">malpractice@wjec.co.uk</a>	

## Appendix 2



JCQ/M2

### Notification of suspected malpractice/maladministration involving centre staff

#### Confidential

This form is to be used by a head of centre **before** an investigation commences to notify an awarding body of an instance of alleged, suspected or actual malpractice or maladministration. **It must be completed and submitted to the appropriate awarding body immediately a suspicion is raised or an allegation received.**

**Awarding body**

**Centre Number**

**Centre Name and address**

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

**Head of centre's email address**

**Head of centre's telephone number**

**Name of head of centre**

**Name(s) of centre staff involved**

**Position**

Name(s) of centre staff involved	Position
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

**Date incident was reported to centre management**

**Details of examinations/assessments involved**

Qualification, unit or specification code	Qualification, unit or specification title
█	█

**Date and time of incident**

█

**Describe the nature of the suspected malpractice/maladministration, including details as to how it was discovered, by whom and when.**

█

**Could the candidates have been unfairly advantaged or disadvantaged by the suspected malpractice/maladministration? If so, please give details.**

█

**Describe the steps the centre management propose to take to gather information relating to this matter.**

█

**Individual proposed to gather information**

Name:	_____
Role within centre/organisation:	_____
Reason why suitable to gather information (e.g. experienced senior leader):	_____

Have you and the individual proposed to gather information read the JCQ guidance on conflicts of interest and personal interest at sections 4.1.3 and 5.7-5.8 and Appendix 3 within the JCQ <i>Suspected Malpractice – Policies and Procedures</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
Does the individual proposed to gather information have any known conflicts of interest or personal interest in the outcome of the investigation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>

Name and position (please print): \_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

The form and supporting documentation must be sent to:

<b>AQA</b> <a href="mailto:irregularities@qa.org.uk">irregularities@qa.org.uk</a>	
<b>CCEA</b> <a href="mailto:malpractice@ccea.org.uk">malpractice@ccea.org.uk</a>	
<b>City &amp; Guilds</b> <a href="mailto:investigationandcompliance@cityandguilds.com">investigationandcompliance@cityandguilds.com</a>	
<b>NCFE</b> <a href="mailto:providerassurance@ncfe.org.uk">providerassurance@ncfe.org.uk</a>	
<b>OCR</b> <a href="mailto:malpractice@ocr.org.uk">malpractice@ocr.org.uk</a>	
<b>Pearson</b> <a href="mailto:pqsmalpractice@pearson.com">pqsmalpractice@pearson.com</a>	
<b>WJEC</b> <a href="mailto:malpractice@wjec.co.uk">malpractice@wjec.co.uk</a>	



## Appendix 3



### JCQ M3

#### Report into suspected malpractice/maladministration involving centre staff

##### Confidential

This form is to be used by a head of centre following the gathering of information related to an investigation into an instance of suspected malpractice or maladministration. It **must** be completed and submitted to the appropriate awarding body together with supporting statements and documentation.

If the gathering of information has not yet commenced, please use **Form JCQ M2 Notification of suspected malpractice/maladministration** which can be found on the JCQ website: <http://www.jcq.org.uk/exams-office/malpractice>

##### Awarding body

##### Centre number

##### Centre name and address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

##### Head of centre's email address

##### Head of centre's telephone number

##### Name of head of centre

<input type="text"/>	<input type="text"/>
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**Name(s) of centre staff involved****Position**

█	█
█	█
█	█

**Details of examinations/assessments involved**

Qualification, unit or specification code	Qualification, unit or specification title
█	█

**Date and time of incident**

**Individual(s) who gathered information**

Name:	█	
Role within centre/organisation:	█	
Reason why suitable to gather information (e.g. experienced senior leader):	█	
Please confirm, prior to gathering information, you read the JCQ guidance on conflicts of interest and personal interest at sections 4.1.3 and 5.7-5.8 and Appendix 3 within the JCQ Suspected Malpractice: Policies and Procedures?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
Did you have any known conflicts of interest or personal interest in the outcome of the investigation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>

**Did any external people (e.g. local authority personnel, union officers) assist in the gathering of information? If so, please give details:****Name(s)****Position**

█	█
█	█
█	█

**Give details of the actions you have taken and the information you have gathered**

**From the information you have gathered, please use the box below to provide:**

- **details of the actions your centre proposes to take to mitigate the impact on candidates; and**
- **details of the actions your centre proposes to take to prevent a recurrence of similar incidents in future**

Name and position (please print):

Signed:

Date:



## Report into suspected malpractice/maladministration involving centre staff

This checklist is intended to assist centres when gathering information for an investigation into suspected malpractice or maladministration involving centre staff. Once completed, it **must** be submitted to the awarding body together with the supporting statements and documentation. **It is the responsibility of the head of centre to ensure that these requirements have been met. A separate checklist is required for each member of staff implicated in the allegation.** Reference is made to the requirements detailed in the JCQ document:

*Suspected Malpractice: Policies and Procedures*

Name of implicated centre staff member: \_\_\_\_\_

Please indicate by putting a cross in the appropriate box for the following points:

		Yes	No
1.	The accused member of staff has been informed of their individual responsibilities and rights (sections 4.1.3 and 5.33).	<input type="checkbox"/>	<input type="checkbox"/>
2.	The member of staff accused of malpractice should:		
	<ul style="list-style-type: none"><li>be informed (preferably in writing) of the allegation made against him or her (include a copy of any letter/notification in the submission);</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"><li>be provided with a copy of the JCQ document <i>Suspected Malpractice: Policies and Procedures</i>;</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"><li>know what evidence there is to support the allegation (provide full details in the submission to the awarding body);</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"><li>Be made aware that providing knowingly misleading or inaccurate information constitutes malpractice.</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"><li>know the possible consequences should malpractice be proven;</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"><li>have the opportunity to consider their response to the allegations (provide a verified record of any interviews conducted);</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"><li>have an opportunity to submit a written statement (provide a copy of all statements);</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"><li>be informed that he/she will have the opportunity to read and make a statement in response to the submission to the awarding body's Malpractice Committee;</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"><li>have an opportunity to seek advice (as necessary) and to provide a supplementary statement (if required);</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"><li>be informed of the applicable appeals procedure should a decision be made against him or her;</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>

	<ul style="list-style-type: none"><li>• be informed of the possibility that information relating to a serious case of malpractice may be shared with other awarding bodies, the regulators and other appropriate authorities.</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>
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**Please provide further details if it has been necessary to tick No in the checklist:**

<input type="checkbox"/>
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**This form must be enclosed with the report and any other relevant evidence.**

**The form and supporting documentation must be sent to:**

<b>AQA</b> <a href="mailto:malpractice@aca.org.uk">malpractice@aca.org.uk</a>	
<b>CCEA</b> <a href="mailto:malpractice@ccea.org.uk">malpractice@ccea.org.uk</a>	
<b>City &amp; Guilds</b> <a href="mailto:investigationandcompliance@cityandguilds.com">investigationandcompliance@cityandguilds.com</a>	
<b>NCFE</b> <a href="mailto:providerassurance@ncfe.org.uk">providerassurance@ncfe.org.uk</a>	
<b>OCR</b> <a href="mailto:malpractice@ocr.org.uk">malpractice@ocr.org.uk</a>	
<b>Pearson</b> <a href="mailto:pqsmalpractice@pearson.com">pqsmalpractice@pearson.com</a>	
<b>WJEC</b> <a href="mailto:malpractice@wjec.co.uk">malpractice@wjec.co.uk</a>	

### 8 Application for an appeal or a review of an administrative decision

Centre Number

Old Buckenham High School

1	8	4	2	5
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The details provided on or appended to this form will form the basis of the case being put forward by the appellant.

When completing the details, please pay particular attention to **section 10** of this form, which outlines the grounds for appeal and summarises your reasons for appealing.

If you require clarification or assistance, please contact the relevant awarding body.

#### Please indicate the type of appeal or review being initiated

Post-Results Services*	<input type="checkbox"/>	Malpractice	<input type="checkbox"/>
Access arrangements, reasonable adjustments or special consideration	<input type="checkbox"/>	Review of other administrative decisions	<input type="checkbox"/>



If this is an appeal against the outcome of a clerical re-check, a review of marking, a review of moderation or an access arrangement/special consideration decision, please indicate below whether this is an application for a preliminary appeal or an appeal hearing.

Preliminary appeal

Appeal hearing\*\*

**\*Please note that an appellant cannot proceed to an appeal hearing unless they have already initiated a preliminary appeal and this appeal has been completed.**

**\*\*Please note that an appellant cannot proceed to a preliminary appeal until the clerical re-check, review of marking or review of moderation has been completed and the outcome confirmed.**

1. Name of appellant:

.....

2. Centre name:

.....

3. Address:

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.....

4. Telephone number: .....

5. Name and position of person to contact at the centre:

.....

6. Email address of contact person:

.....

7. Examination series:

.....

8. Title and level of specification:

.....

.....

9. Name(s) and candidate number(s) of candidate(s) on whose behalf you are appealing (where applicable).

Candidate name	Candidate number	Component/unit code

(Continue on another sheet if necessary).

10. Grounds for appeal:

Please state the grounds for this appeal, continuing overleaf as necessary, and attach all supporting documentation. If the centre attends a hearing, there will be opportunities for further points to be raised during the hearing, but substantive new evidence **should not** be introduced on the day of the hearing. It is in the interest of all parties that all grounds for appeal are clearly stated in the application.

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11. Names and positions of people attending an appeal hearing

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Signed:.....

Date: ...../...../.....

(Appellant)

**Please return the completed form to the relevant awarding body.**

**If you have not received an acknowledgement within five working days, please contact the awarding body.**