



# EXAMS

## Malpractice Policy

  
Signed  Governor

Dawn Laverick-Brown

**Print Name**

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The purpose of this exam policy is:

- To ensure the planning and management of exams is conducted efficiently and in the best interest of candidates.
- To ensure the operation of an efficient exam system with clear guidelines for all relevant staff.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.

The exam policy will be reviewed annually.

This exam policy will be reviewed by the Head of Centre, Assistant Head and the Examinations Officer.

## **1. Staff responsibilities - GCSE controlled assessment**

### **Head of Centre**

- Overall responsibility for the school as an exam centre:
- Advises on appeals and re-marks
- The Head of Centre is responsible for reporting all suspicious or actual incidents of malpractice. Refer to the JCQ document - *Suspected malpractice in examinations and assessments*

### **Examinations Office Manager/Examinations Officer**

- Manages the administration of public and internal exams and analysis of exam results:
- Advises the senior leadership team, subject and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various exam boards.
- Oversees the production and distribution to staff, governors and candidates of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events.
- Ensures that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them.
- Consults with teaching staff to ensure that necessary coursework is completed on time and in accordance with JCQ guidelines.
- Provides and confirms detailed data on estimated entries.
- Receives, checks and stores securely all exam papers and completed scripts.
- Identifies and manages exam timetable clashes.
- Accounts for income and expenditures relating to all exam costs/charges.
- Line manages the senior exam invigilator in organising the recruitment, training and monitoring of a team of exam's invigilators responsible for the conduct of exams.
- Prepares and presents reports to the SLT showing results achieved in relation to expected grades and comparable data for previous years, indicating where future procedural improvements might be made.
- Submits candidates' coursework marks, tracks despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule.
- Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the SLT, any appeals/re-mark requests.
- Maintains systems and processes to support the timely entry of candidates for their exams.

### **Senior Leadership Team**

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- Create, publish and update an internal appeals policy for controlled assessments.
- At the start of the academic year, begin coordinating with heads of department/subject to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of key stage 4).
- Map overall resource management requirements for the year. As part of this resolve:
  - Clashes/problems over the timing or operation of controlled assessments.
  - Issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- Ensure that all staff involved have a calendar of events
- Organisation of teaching and learning.
- External validation of courses followed at Key Stage 4 / Post 16.

### **Heads of Department / School / Curriculum**

- Decide on the awarding body and specification for a particular GCSE.
- Ensure that overall assessment (controlled and/or external assessment) is taken in the exam series in which the qualification is certificated, to satisfy the terminal assessment requirement in accordance with the awarding body specification.
- Standardise internally the 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.
- Supply to the exams office details of all unit codes for controlled assessments.
- Collate and supply to the exams officer outcomes from all units for controlled assessments.
- Guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries.
- Involvement in post-results procedures.
- Accurate completion of coursework mark sheets and declaration sheets.
- Accurate completion of entry and all other mark sheets and adherence to deadlines as set by the exams officer.

### **Teaching Staff**

- Understand and comply with the general guidelines contained in the JCQ publication Instructions for conducting controlled assessments.
- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) 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.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).

- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the appropriate special educational needs coordinator (SENCO) for any assistance required for the administration and management of access arrangements.
- Notification of access arrangements (as soon as possible after the start of the course).
- Submission of candidates' names to the heads of department / school / curriculum
- Administration of access arrangements.
- Identification and testing of candidates, requirements for access arrangements.
- Provision of additional support – with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment – to help candidates achieve their course aims.

### **Special Educational Needs Co-ordinator/Additional Learning Support**

- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.
- Administers access arrangements and makes applications for special consideration using the *JCQ Access arrangements and special considerations regulations and Guidance relating to candidates who are eligible for adjustments in examinations.*

### **Lead Invigilator / Invigilators**

- Collection of exam papers and other material from the exams office before the start of the exam.
- Collection of all exam papers in the correct order at the end of the exam and their return to the exams office.

### **Candidates**

- Confirmation and signing of entries.
- Understanding coursework regulations and signing a declaration that authenticates the coursework as their own.

## **2. The Statutory tests and qualifications offered**

The statutory tests and qualifications offered at this centre are decided by the head of centre and the heads of subject. The statutory tests and qualifications offered are BTEC, GCSE and Entry Level.

The subjects offered for these qualifications in any academic year may be found in the centre's published prospectus for that year. If there has been a change of syllabus from the previous year, the exams office must be informed as soon as possible.

Decisions on whether a candidate should not take an individual subject or all NCTs will be taken in consultation with the candidates, parents/carers and the subject teachers.

### **At Key Stage 3**

All candidates will take English, mathematics, science and ICT (from 2008). The school will consider the use of intervention or booster strategies in connection with any candidates who are unlikely to attain the minimum level.

### **At Key Stage 4**

All candidates will be entitled, and enabled, to achieve an entry for qualifications from an external awarding body.

### **3. Exam Seasons and Timetables**

#### **3.1 Exam Seasons**

- Internal exams are scheduled in November (Yr 11) and June.
- External exams are scheduled in January, March and June
- Which exam series are used in the centre is decided by the heads of subject

#### **3.2 Timetables**

- Once confirmed, the exams officer will circulate the exam timetables for external exams.

### **4. Entries, Entry Details and Late Entries**

#### **4.1 Entries**

- Candidates are selected for their exam entries by the heads of subject
- Candidates, or parents/carers, cannot request a subject entry, change of level or withdrawal.
- The centre does not accept entries from external candidates.

#### **4.2 Late Entries**

- Entry deadlines are circulated to heads of department via notice board and post.
- Late entries are authorised by the exams officer and senior leadership team.

### **5. Exam Fees**

The centre will pay all normal exam fees on behalf of candidates.  
Late entry or amendment fees are paid by centre.

Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the awarding bodies.

### **6. The Disability Discrimination Act (DDA), Special Needs and Access Arrangements**

#### **6.1 DDA**

The Disability Discrimination Act 2005 extends the application of the DDA to general qualifications. All exam centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

#### **6.2 Special Needs**

A candidate's Special Needs requirements are determined by the SENCO and Educational Psychologists / Specialist Teacher.

The SENCO will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an exam, and the date of that exam. The SENCO can then inform individual staff of any special arrangements that individual candidates can be granted during the course and in the exam.

### **6.3 Access Arrangements**

Making special arrangements for candidates to take exams is the responsibility of the SENCO and the exams officer.

Submitting completed access arrangement applications to the awarding bodies is the responsibility of the exams officer.

Rooming for access arrangement candidates will be arranged by the SENCO with the exams officer.

Invigilation and support for access arrangement candidates will be organised by the SENCO with the exams officer.

## **7. Estimated Grades**

The heads of subject will submit estimated grades to the exams officer when requested by the exams officer.

## **8. Managing Invigilators and Exam Days**

### **8.1 Managing Invigilators**

Internal invigilators will be used for external exams

The nomination of invigilators is the responsibility of the senior leaders

Invigilators are timetabled and briefed by the exams office.

### **8.2 Exam Days**

The exams officer will book all exam rooms after liaison with other users and make the question papers, other exam stationery and materials available for the invigilator.

Site management is responsible for setting up the allocated rooms.

The lead invigilator will start all exams in accordance with JCQ guidelines.

Subject staff may be present at the start of the exam to assist with identification of candidates but must not advise on which questions are to be attempted.

In practical exams subject teachers may be on hand in case of any technical difficulties.

Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to heads of department at the end of the exam session.

A relevant subject teacher may be available to read out any subject-specific instructions and start the exam, if required.

## **9. Candidates, Clash Candidates and Special Consideration**

### **9.1 Candidates**

The centre's published rules on acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices apply at all times.

Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damages.

Disruptive candidates are dealt with in accordance with JCQ guidelines.

For exams longer than one hour, candidates will not be allowed to leave the exam room until at least one hour after the published starting time. They will not be allowed to return.

The exams officer will attempt to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines.

## **9.2 Clash Candidates**

The exams officer will be responsible as necessary for supervising escorts, identifying a secure venue and arranging overnight stays.

## **9.3 Special Consideration**

Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre, the exams officer, or the exam invigilator, to that effect.

The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example a letter from the candidate's doctor.

The exams officer will then forward a completed special consideration form to the relevant awarding body within seven days of the exam.

## **10. Coursework and Appeals against Internal Assessments**

### **10.1 Coursework**

Candidates who have to prepare coursework should do so by the end of the course.

Heads of department will ensure all coursework is ready for despatch at the correct time. The exams officer will keep a record of what has been sent when and to whom.

Marks for all internally assessed work and estimated grades are provided to the exams office by the subject teachers and the heads of subject.

### **10.2 Appeals against internal assessments**

The centre is obliged to publish a separate procedure on this subject, which is available from the exams office.

The main points are:

- Appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded.
- Candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification.

- Appeals should be made in writing by 30 June to the head of centre (or other nominee) who will decide whether the process used conformed to the necessary requirements.
- The head of centre's findings will be notified in writing, copied to the exams officer and recorded for awarding body inspection.

## **11. Results, enquiries about results (EARs) and access to scripts (ATS)**

### **11.1 Results**

Candidates will receive individual results slips on results days by post to their home addresses (candidates to provide sae).

Arrangements for the school to be open on results days are made by the head of centre.

The provision of staff on results days is the responsibility of the head of centre.

### **11.2 EARs**

EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.

If a result is queried, the exams officer, teaching staff and head of centre will investigate the feasibility of asking for a re-mark at the centre's expense

When the centre does not uphold an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged.

### **11.3 ATS**

After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results.

Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.

GCSE re-marks cannot be applied for once a script has been returned.

(See also section 5: Exam fees)

## **12. Certificates**

Certificates are presented in person, posted (recorded delivery) or collected and signed for.

Certificates may be collected on behalf of a candidate by a third party, provided they have been authorised to do so.

Replacement certificates are only issued if a candidate agrees to pay the costs incurred.

The centre retains certificates for one year.



## CANDIDATE MALPRACTICE PROCEDURE

### Introduction

This policy sets out to define the procedures to be followed in the event of any dispute or allegation regarding candidate malpractice in the assessment of internally marked qualifications (such as ASDAN CoPE) and also regarding examinations marked externally.

### Examples of Malpractice

Attempted or actual malpractice activity will not be tolerated. The following are examples of malpractice by candidates with regards to portfolio-based qualifications. This list is not exhaustive:

- **Plagiarism:** the copying and passing of as the candidate's own work, the whole or part of another person's work
- **Collusion:** working collaboratively with other learners to produce work that is submitted as the candidate's only
- Failing to abide by the instructions of an assessor – this may refer to the use of resources which the candidate have been specifically told **not** to use
- The alteration of any results document

If a teacher suspects a candidate of malpractice, the candidate will be informed and the allegations will be explained. The candidate will have the opportunity to give their side of the story before any final decision is made. If the candidate accepts that malpractice has occurred, he will be given the opportunity to repeat the assignment. If found guilty of malpractice following an investigation, the teacher may decide to re-mark previous assignments and these could also be rejected if similar concerns are identified.

The following are examples of malpractice by candidates with regards to examinations. This list is not exhaustive:

- Talking during an examination
- Taking a mobile telephone or other form of communication into an examination
- Taking any item other than those accepted by the 'Awarding Body into the examination, such as a book or notes
- Leaving the examination room without permission
- Passing notes or papers or accepting notes to, or accepting notes or papers from another candidate

If a teacher suspects a candidate of malpractice during an examination, the candidate will be informed and the allegations will be explained. The candidate will have the opportunity to give their side of the story before any final decision is made. If the candidate is found guilty of malpractice, the Awarding Body will be informed and the candidate's examination paper will be withdrawn. It is unlikely that the candidate will have the opportunity to repeat the examination.

### Appeals

In the event that a malpractice decision is made, which the candidate feels is unfair, the candidate has the right to appeal in line with the Appeals Procedure.

## STAFF MALPRACTICE PROCEDURE

### Introduction

This policy sets out to define the procedures to be followed in the event of any dispute or allegation regarding staff malpractice in the assessment of internally marked qualifications (such as ASDAN CoPE) and also regarding examinations invigilated by staff at the school and marked externally.

### Examples of Malpractice

Attempted or actual malpractice activity will not be tolerated. The following are examples of malpractice by staff with regards to portfolio-based qualifications. This list is not exhaustive:

- Tampering with candidates work prior to external moderation/verification
- Assisting candidates with the production of work outside of the awarding body guidance
- Fabricating assessment and/or internal verification records or authentication statements

The following are examples of malpractice by staff with regard to examinations

- Assisting candidates with exam questions outside of the awarding body guidance
- Allowing candidates to talk, use a mobile phone or go to the toilet unsupervised
- Tampering with scripts prior to external marking taking place.

### Staff Malpractice Procedure

Investigations into allegations will be coordinated by Headteacher, who will ensure the initial investigation is carried out within ten working days. The person responsible for coordinating the investigation will depend on the qualification being investigated. The investigation will involve establishing the full facts and circumstances of any alleged malpractice. It should not be assumed that because an allegation has been made, it is true. Where appropriate, the staff member concerned and any potential witnesses will be interviewed and their version of events recorded on paper.

The member of staff will be:

- informed in writing of the allegation made against him or her
- informed what evidence there is to support the allegation
- informed of the possible consequences, should malpractice be proven
- given the opportunity to consider their response to the allegations
- given the opportunity to submit a written statement
- given the opportunity to seek advice (as necessary) and to provide a supplementary statement (if required)
- informed of the applicable appeals procedure, should a decision be made against him/her
- informed of the possibility that information relating to a serious case of malpractice will be shared with the relevant awarding body and may be shared with other

If work is submitted for moderation/verification or for marking which is not the candidate's own work, the awarding body may not be able to give that candidate a result.

## Staff Malpractice Sanctions

Where a member of staff is found guilty of malpractice, Batchwood School may impose the following sanctions:

- 1. Written warning:** Issue the member of staff with a written warning stating that if the offence is repeated within a set period of time, further specified sanctions will be applied
- 2. Training:** Require the member of staff, as a condition of future involvement in both internal and external assessments to undertake specific training or mentoring, within a particular period of time, including a review process at the end of the training
- 3. Special conditions:** Impose special conditions on the future involvement in assessments by the member of staff
- 4. Suspension:** Bar the member of staff in all involvement in the administration of assessments for a set period of time
- 5. Dismissal:** Should the degree of malpractice be deemed gross professional misconduct, the member of staff could face dismissal from his/her post

## INTERNAL MODERATION PROCESS FOR CENTRES

### First 6 weeks of term

- Establish numbers of pupil cohort
- Establish levels that these candidates will work on
- Register candidates
- Allocate Internal Moderator(s) to assessor(s)
- Internal Moderator to approve proposed SoW/Assessments
- Internal Moderator to draw up sample plan

### 2<sup>nd</sup> half of first term

- Co-ordinator to ensure that all internal moderators and assessors have met
- First round of formative internal moderation to be conducted. One copy of feedback sheet to be given to the assessor, one to be stored centrally in the centre portfolio for auditable purposes
- Meeting held to discuss issues arising from first round of internal moderation. Minutes taken

### 1<sup>st</sup> half of second term

- Second round of formative internal moderation to be conducted. Documentation to be copied as before and stored in the centre portfolio
- Any action noted by the internal moderator on first round to be checked and signed off
- Meeting held to discuss issues arising

### 2<sup>nd</sup> half of second term

- Third round of internal moderation to be conducted. Documentation to be copied as before and stored in centre portfolio
- Any continuing issues to be addressed and signed off
- Meeting held to discuss issues and plan for external moderation

### 1<sup>st</sup> half of 3<sup>rd</sup> term

- Co-ordinator to establish candidates and units to be forwarded for external moderation
- Summative internal moderation to be conducted
- Arrangements to be made for External Moderation

### 2<sup>nd</sup> half of third term

- External Moderation takes place

- Meeting to be arranged to discuss feedback from External Moderation and plan put in place to address any issues arising

**Back to Term 1 again**

**MINUTES FROM INTERNAL MODERATION MEETINGS**

<b>Persons present:</b>	<b>Date:</b>
<b>Issues arising:</b>	<b>Action agreed/person(s) Responsible</b>
<b>Date of next meeting:</b>	

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**Feedback to Assessor Sheet for Formative Internal Moderation**

<b>Candidate Name:</b> .....		<b>Date:</b>
<b>Assessor Name:</b> .....		
<b>Internal Moderator Name:</b> .....		
<b>Qualification Title:</b> .....		
<b>Unit(s) moderated:</b> .....		
<b>Comments / feedback on how assessment / evidence meets the standards:</b>		
<b>Comments / feedback on completion of mandatory paperwork:</b>		
<b>Assessor signature</b>		<b>Date:</b>
<b>Internal Moderator signature</b>		<b>Date:</b>
<b>Date agreed for any action identified to be completed by:</b>		

Internal Moderator signature to confirm action completed:		Date:
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**EMERGENCY & EVACUATION PROCEDURES  
DURING EXAMS**

**EMERGENCY PROCEDURES related to when Public Examinations are taking place**

**Public Examinations**

In an emergency situation requiring evacuation Pupils in an examination:

- If the continuous fire bell rings pupils are to remain in their examination room unless they are in immediate danger.
- The examinations officer and supervising staff will go to the examination room(s) to assess the situation.
- Pupils will continue their examination if they are not at risk and the exam attendance list will be taken by the examination officer or supervising staff to the evacuation point on the playground opposite the Key Stage 4 building

If the situation arises where Pupils cannot remain in the examination room(s):

- Pupils will leave the rooms / hall in silence
- Their work is to be left on the examinations desks
- The invigilator(s) are to take the attendance sheet with them
- Supervising staff will lead pupils in an orderly fashion to the evacuation point on the playground opposite the Key Stage 4 building.
- Pupils are to remain separate and in silence
- Pupils will line up facing the field in Form Groups to register by the examination attendance list.
- The Examination Officer or supervising staff will collect the attendance sheet and take it to the evacuation assembly point (playground)

GDPR stipulates that Exams is personal/ sensitive data. Our school provides Data Subjects (individuals to whom "personal data" relate) with a right to data held about themselves, including those obtained by means of this report. Requests for Data Subject Access should be made to our data protection officer Katie Harris (gdprkharris@gmail.com) or the Head Teacher Mr Kemp (head@batchwood.herts.sch.uk)

**Controlled Assessment**

**Risk Management**

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Timetabling</b>			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Plan dates in consultation with school calendar – negotiate with other parties	Assessment Coordinator HOD Key Stage 4 Coordinator
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates sometime between assessments	Assessment Coordinator HOD Key Stage 4 Coordinator
<b>Accommodation</b>			
Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment	Use more than one classroom or multiple sittings where necessary	HOD
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities	Plan ahead and book rooms and facilities in advanced.	HOD



Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Downloading awarding body set tasks</b>			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	HOD ICT Technician
Teaching staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time	HOD ICT Technician
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	HOD Exams officer
<b>Absent candidates</b>			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	Liaise with H&L office and plan. Alternative sessions for candidates.	HOD
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes N.B. retakes of controlled assessment are limited	HOD

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Control levels for task taking</b>			
Assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body	Exams officer HOD
<b>Supervision</b>			
Teaching staff/assessors do not understand supervision of controlled assessment is their responsibility	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision	Exams officer HOD KS4 Coordinator
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are <b>not</b> supervising	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.		Cover supervisor HOD
<b>Task setting</b>			
Teaching staff/assessors fail to correctly set tasks	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification**	Seek guidance from the awarding body	HOD Teaching staff
Assessments have not been moderated as required in the awarding body specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	HOD
<b>Security of materials</b>			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security	Request/obtain different assessment tasks	HOD Exams Officer
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary	Take materials to secure storage	HOD
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	HOD

\*\* All tasks whether set by the awarding body or the centre **must** be developed in line with the requirements of the specification.

Example risks and issues	Possible remedial action		Staff
	Forward planning	Action	
<b>Deadlines</b>			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines/penalties for not meeting them	Mark what candidates have produced by deadline and seek guidance from awarding body on further action.	HOD Teaching staff
Deadlines for marking and/or paperwork not met by teaching staff/ assessors	Ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so the exams officer can process and send off marks ahead of deadlines	Seek guidance from awarding body	HOD Exams officer SLT
<b>Authentication</b>			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed	HOD Exams officer
Teaching staff/assessors fail to complete authentication forms or leave before completing authentication	Ensure teaching staff/assessors understand importance of authentication forms and the requirement of a signature	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season	HOD Exams officer
<b>Marking</b>			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding body specification for appropriate procedure	HOD SLT
Centre does not run standardisation activity as required by the awarding body	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardisation event can be arranged.	HOD SLT

Reviewed: November 2019

### Aim:

- To identify and minimise the risk of malpractice by staff or learners
- To respond to any incident of alleged malpractice promptly and objectively
- To standardise and record any investigation of malpractice to ensure openness and fairness
- To impose appropriate penalties and/or sanctions on learners or staff where incidents (or attempted incidents) of malpractice are proven
- To protect the integrity of this centre and BTEC qualifications.

In order to do this, the centre will:

- Seek to avoid potential malpractice by using the induction period and the learner handbook to inform learners of the centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice
- Show learners the appropriate formats to record cited texts and other materials or information sources
- Ask learners to declare that their work is their own
- Ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
- Conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Head of Centre / Principal / CEO and all personnel linked to the allegation. It will proceed through the following stages as shown in the student appeals procedure:
  - Stage 1
  - Stage 2
  - Stage 3
- Make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven
- Give the individual the opportunity to respond to the allegations made
- Inform the individual of the avenues for appealing against any judgment made
- Document all stages of any investigation.
- Where malpractice is proven, this centre will apply the following penalties /sanctions:
  - The candidates work will be withdrawn from the exam board

### Definition of Malpractice by Learners

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- Plagiarism of any nature
- Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work
- Copying (including the use of ICT to aid copying)
- Deliberate destruction of another's work
- Fabrication of results or evidence
- False declaration of authenticity in relation to the contents of a portfolio or coursework
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.

## Definition of Malpractice by Centre Staff

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- Improper assistance to candidates
- Inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made
- Failure to keep candidate coursework/portfolios of evidence secure
- Fraudulent claims for certificates
- Inappropriate retention of certificates
- Assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner
- Producing falsified witness statements, for example for evidence the learner has not generated
- Allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework
- Facilitating and allowing impersonation
- Misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, 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
- Fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.

This policy will be reviewed annually by the Quality Nominee.

Renewal date: November 2020

## *Student Appeals Procedure*

*If students have any concerns as regards their individual assignments then the following procedure should be followed:*

### Stage One

The student should speak to the teacher who has set and marked the assignment, explaining the reason for their concerns. The teacher, after considering the student's explanation, will provide an immediate response with a clear explanation of the decision taken. If the student still remains unhappy with the outcome then they should proceed to the next stage.

### Stage Two

Speak to the Internal Verifier Mrs Gopaul, who will address the issue. She will consider the reason for the appeal and the response of the teacher. A decision will be given to the student within 5 working days of the concern being received. If the student is still unhappy and wishes to proceed to the next stage then both the student and the Internal Verifier must record the appeal.

### Stage Three

The Internal Verifier will forward relevant details to the Quality Nominee, Mrs Slater, who must convene, within 10 working days, a panel comprising the following:

- The Deputy Head Mr Hillman
- The Quality Nominee Mrs Slater

- The Internal Verifier Mrs Gopaul
- The Student
- The Teacher
- Parent/Carer of the student (if requested).

The Co-ordinator must make a decision and inform all parties within five working days of the Appeals Panel meeting. This decision is final. Records of all appeals are to be kept and made available to the External Verifier.

- If at stage two, the teacher disagrees with the decision then he/she has the right to appeal and stage three occurs.