



## Assessment Malpractice Policy

The staff and senior management of Brockenhurst College have a statutory and moral responsibility for ensuring that there is no malpractice in any of the assessments, examinations or verifications that occur as a result of a student participating in a course at the College. This policy defines malpractice and lays out the steps that will be taken if malpractice is suspected. It should be read in conjunction with the Conflict of Interest Policy, Staff Disciplinary Policy, the Learner Disciplinary Policy and the Overarching Academic Offence Policy, Plagiarism Policy. This policy applies to both staff and learners and will be applied in all cases warranted serious enough to undermine the credibility and reputation of the College and/or the qualification.

### Definition

Malpractice is defined as those acts which undermine the integrity and validity of assessment, the certification of qualifications and/or damage the authority of those responsible for conducting the assessment and certification.

Examples of malpractice include:

- claiming certification for non-active candidates;
- claiming a certificate for candidates who have not undergone appropriate assessment or verification;
- claiming for incorrect units or qualifications;
- claiming for fictitious candidates;
- Claiming incorrect grades.
- Non-compliance with JCQ guidelines

In addition

- No member of staff trains and/or assesses learners they have a vested interest in
- No member of staff will internally quality assure work that has been assessed by a spouse/partner/family member
- No member of staff will invigilate any formal assessment where they have a vested interest in any of the learners taking the test/exam

More specifically:

**Learner Malpractice is any falsification/fabrication/deceit in the production of any information within work being assessed.**

The following are examples of malpractice by learners; this list is not exhaustive and other instances of malpractice may be considered by the College at its discretion.

- Plagiarism by copying and passing off, as the learner's own, the whole or part(s) of another person's work, including artwork, images, words, computer generated work (including Internet sources), thoughts, inventions and/or discoveries whether published or not, with or without the originator's permission and without appropriately acknowledging the source
- Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work. Learners should not be discouraged from teamwork, as this is an

essential key skill for many sectors and subject areas, but the use of minutes, allocating tasks, agreeing outcomes, etc. are an essential part of team work and this must be made clear to the learners

- 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
- Fraudulent use of electronic materials
- Fabrication of results and/or evidence
- Failing to abide by the instructions or advice of an assessor, a supervisor, an invigilator, or College conditions in relation to the assessment/examination/test rules, regulations and security
- Misuse of assessment/examination material
- Introduction and/or use of unauthorised material contrary to the requirements of supervised assessment/examination/test conditions, for example: notes, study guides, personal organisers, calculators, dictionaries (when prohibited), personal stereos, mobile phones or other similar electronic devices or communication equipment.
- Obtaining, receiving, exchanging or passing on information which could be assessment/examination/test related (or the attempt to) by means of talking or written papers/notes or electronically stored information during supervised assessment/examination/test conditions
- Behaving in such a way as to undermine the integrity of the assessment/examination/test
- The alteration of any results documents, including certificates
- Cheating to gain unfair advantage

## College Employees

The following are examples of **potential malpractice by College staff**. The list is not exhaustive and other instances of malpractice may be considered by the College at its discretion.

- Failing to keep to awarding organisation and qualification approval requirements
- Failing to keep any marking schemes secure
- Alteration of any marking schemes
- Alteration of assessment and grading criteria
- 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 College 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
- Failing to keep learner computer files secure
- 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
- Failing to keep assessment/examination/test papers secure prior to the assessment/examination/test
- Request certification for folders that have not been fully assessed and/or all paperwork completed
- Request certification for learners whose work has not been signed off by the relevant IQA
- Inappropriate conduct during an examination
- Obtaining unauthorised access to assessment/examination/test material prior to an assessment/examination/test

### **Distance Learning**

All of the statements in this policy apply to this method of learning and assessment with the following additions:

- When using e-assessor the learners' work can only be accepted when the relevant box has been ticked to confirm authenticity of work
- When completing by paper the work cannot be assessed until the signed authentication statement from the learner is received
- Failure to complete the above would be considered as malpractice

### **Blended Learning**

All of the statements apply to this method of learning and assessment with the following additions:

- All Awarding Organisation procedures and guidelines must be followed with regard to submission of work, including timescales. Failure to do this will be considered as malpractice.
- Assessors must check for authenticity of work submitted by learners. This can be done through a variety of assessment methods
  - Questioning submitted work with individual learners where any concerns have been identified
  - Compare language used to previous submissions to ensure consistency
  - To review previous achieved grades to ensure consistency
- Assessors with vested interest in the learner's outcome must not be involved with assessment or quality assurance. Any involvement will be considered as malpractice.

### **Dealing with Malpractice**

Staff who discover or suspect malpractice must immediately report to the Assistant Principal (Learning and Quality). It is the responsibility of the Assistant Principal (Learning and Quality) to carry out an investigation into allegations of malpractice. Investigations into alleged malpractice against the Head of Centre/Principal will be conducted by the Chair of Governors. The alleged incident must be reported to the appropriate awarding organisation at the earliest opportunity.

- All discoveries or suspicions must be sent to the Assistant Principal Learning and Quality who will acknowledge these within 2 working days
- SMT will be advised of all disclosures
- All disclosures will be treated with confidentiality, sensitivity, impartiality and with the upmost importance
- The Assistant Principal Learning and Quality will determine how the investigation will take place and involve members of their team as appropriate
- A plan will be drawn up and implemented within 5 working days of the disclosure
- Depending on the complexity of the disclosure the outcome of the investigation will be shared within 10 working days from receipt of the disclosure

Each awarding organisation will have their own policy on dealing with cases of suspected malpractice.

As staff and learners can be responsible for malpractice, investigations into malpractice will not be delegated to the manager of the section, team or department involved. Where the Assistant Principal (Learning and Quality) has direct line management responsibility the investigation will be carried out by the Quality Assurance Lead to avoid any conflicts of interest which may arise and compromise the investigation.

When the evidence has been gathered a report will be written which must detail:

- Who was involved in the incident, including candidates, members of staff and/or invigilators
- The facts of the case, as established from evidence and/or statements from those involved

The report must include:

- A clear account, as detailed as necessary, of the circumstances
- Details of the activities carried out by the centre
- Written statements from any teachers, invigilators or other members of staff concerned, which must be signed and dated
- Written statements from the candidates concerned which must be signed and dated
- Any other evidence relevant to the allegation

Where appropriate

- Information about how the centre makes candidates aware of the awarding organisations' regulations
- Seating plans
- Any unauthorised material found in the examination room
- Photographic evidence of any material written on hands/clothing etc
- Any candidate work/associated material which is relevant to the investigation
- Any other relevant evidence

**If an allegation is delegated to a senior member of centre staff, the head of centre retains overall responsibility for gathering the evidence**

### **Consequences**

- The College takes the area of assessment malpractice extremely seriously. Where staff are considered to have been involved in assessment malpractice the College disciplinary procedure will be applied. For students the College support and disciplinary procedures will apply.
- Any decision on the outcome will reflect the weight of evidence and the minor or major nature of the case, as will the sanction.

### **Maladministration**

Definition – failure to adhere to the regulations regarding the conduct of controlled assessment, coursework, examination and non-examination assessments, or malpractice in the conduct of

examinations/assessments and/or the handling of examination question papers, candidate scripts, mark sheets, cumulative assessment records, results and certificate claim forms etc.

For Example:

- failing to ensure that candidates' controlled assessment, coursework, non-examination assessment or work to be completed under controlled conditions is adequately completed and/or monitored and/or supervised;
- failure, on the part of the head of centre, to adhere to awarding body specification requirements in the delivery of non-examination assessments, Endorsements and other projects required as part of a qualification. These include the GCSE English Language Spoken Language Endorsement and/or the GCE A-level Biology, Chemistry, Geology and Physics Practical Skills Endorsement;
- inappropriate members of staff assessing candidates for access arrangements who do not meet the criteria as detailed within Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments;
- failure to use the correct tasks/assignments for assessments;
- failure to train invigilators and those facilitating access arrangements adequately, e.g. readers and scribes, leading to non-compliance with the JCQ publication Instructions for conducting examinations;
- failing to issue to candidates the appropriate notices and warnings, e.g. JCQ Information for candidates documents;
- failure to inform the JCQ Centre Inspection Service of alternative sites for examinations;
- failing to post notices relating to the examination or assessment outside all rooms (including Music and Art rooms) where examinations and assessments are held;
- not ensuring that the examination venue conforms to the requirements as stipulated in the JCQ publication Instructions for conducting examinations;
- failing to prevent the introduction of unauthorised material into the examination room, either prior to or during the examination (N.B. this precludes the use of the examination room to coach candidates or give subject-specific presentations, including power-point presentations, prior to the start of the examination.);
- failing to remind candidates that any mobile phones or other unauthorised items found in their possession must be handed to the invigilator prior to the examination starting;
- failure to invigilate examinations in accordance with the JCQ publication Instructions for conducting examinations; • failure to have on file for inspection purposes accurate records relating to overnight supervision arrangements;
- failure to have on file for inspection purposes appropriate evidence, as per the JCQ publication Access Arrangements and Reasonable Adjustments, to substantiate approved access arrangements processed electronically using the Access arrangements online system;
- granting access arrangements to candidates who do not meet the requirements of the JCQ publication Access Arrangements and Reasonable Adjustments;
- granting access arrangements to candidates where prior approval has not been obtained from the Access arrangements online system or, in the case of a more complex arrangement, from an awarding body;
- failure to supervise effectively the printing of computer-based assignments when this is required; • failing to retain candidates' controlled assessments, coursework or non-examination assessments securely after the authentication statements have been signed or the work has been marked;
- failing to maintain the security of candidate scripts prior to despatch to the awarding body or examiner;
  - failing to despatch candidates' scripts, controlled assessments, coursework or non-examination assessments to the awarding bodies, examiners or moderators in a timely way;
- failing to notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice;
- failing to conduct a thorough investigation into suspected examination or assessment malpractice when asked to do so by an awarding body;
- breaching the published arrangements for the release of examination results;

- the inappropriate retention or destruction of certificates;
- failing to recruit learners with integrity, including the recruitment of learners who have not met the qualification's minimum entry requirements wherever stipulated and/or the recruitment of learners who are unable or otherwise unlikely to complete the qualification.

## **Complaints and Appeals**

If the learner feels he/she has been treated unfairly they should follow the College Complaints and Appeals procedure. Awarding Organisations will have established procedures for centres that are considering appeals against penalties and sanctions arising from malpractice. Appeals against a decision made by an awarding organisation will normally be accepted only from the Principal (on behalf of the learners and/or members of staff) and from individual members of centre staff in respect of a decision taken against them personally.

## **Associated Documentation**

Appeals Procedure  
 Apprenticeship Provision, Monitoring and Tracking  
 Controlled Assessment Policy  
 Data Protection Policy  
 Equality and Diversity Policy  
 Monitoring and Tracking Policies and Procedures  
 Plagiarism Policy  
 Learner Disciplinary Policy  
 Quality Strategy  
 Safeguarding  
 Set Work Submission Policy  
 Supporting Learners and Staff with Medical Conditions  
 Teaching and Learning Policy  
 Conflict of Interest  
 Academic Offence Policy (overarching)  
**External Assessment Policy**