



**CAISTER ACADEMY**  
*Creative Education Trust*  
School of Literature  
and Performing Arts

# Malpractice Policy

Approved by:		
Name	Title	Date
Academy Council		10 October 2024

Date of last review	Reviewed by	Date of next review

## Malpractice Policy

Centre name	Caister Academy
Centre number	18309
Date policy first created	21/02/2024
Current policy approved by	Academy Council
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## Key staff involved in the policy

Role	Name
Head of centre	Helen Seath
Assistant Principal Curriculum & Assessment	Lewis Sewter
Exams officer	Diane Foster
Other staff (if applicable)	Katie Makepeace

This policy is reviewed and updated annually to ensure that any malpractice at Caister Academy is managed in accordance with current requirements and regulations.

Reference in the policy to **GR** and **SMPP** relate to relevant sections of the current JCQ publications **General Regulations for Approved Centres** and **Suspected Malpractice: Policies and Procedures**.

## **Introduction**

### **What is malpractice and maladministration?**

'Malpractice' and 'maladministration' are related concepts, the common theme of which is that they involve a failure to follow the rules of an examination or assessment. This policy and procedure uses the word 'malpractice' to cover both 'malpractice' and 'maladministration' and it means any act, default or practice which is:

- a breach of the Regulations
- a breach of awarding body requirements regarding how a qualification should be delivered
- a failure to follow established procedures in relation to a qualification

which:

- gives rise to prejudice to candidates
- compromises public confidence in qualifications
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
- damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre (SMPP 1)

### **Candidate malpractice**

'Candidate malpractice' means 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 writing of any examination paper. (SMPP 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)

### **Suspected malpractice**

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

## **Purpose of the policy**

To confirm Caister Academy:

- has in place a written malpractice policy which covers all qualifications delivered by the centre and details 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 (GR 5.3)

## General principles

In accordance with the regulations Caister Academy will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations have taken place (GR 5.11)
- Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a 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 JCQ publication **Suspected Malpractice - Policies and Procedures** and provide such information and advice as the awarding body may reasonably require (GR 5.11)

## Preventing malpractice

Caister Academy has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ publication **Suspected Malpractice: Policies and Procedures**. (SMPP 4.3)
- This includes ensuring that all 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 2024-2025*; *Instructions for conducting examinations (ICE) 2024-2025*; *Instructions for conducting coursework 2024-2025*; *Instructions for conducting non-examination assessments 2024-2025*; *Access Arrangements and Reasonable Adjustments 2024-2025*; *A guide to the special consideration process 2024-2025*; *Suspected Malpractice: Policies and Procedures 2024-2025*; *Plagiarism in Assessments*; *AI Use in Assessments: Protecting the Integrity of Qualifications*; *A guide to the awarding bodies' appeals processes 2024-2025* (SMPP 3.3.1)

## Informing and advising candidates

- Teachers conducting non-examination assessments will warn candidates around the use of AI in assessments.
- Teachers will show guidance to students in the form of a presentation slide at the beginning of any NEA session in classrooms.
- Teachers will outline the consequences of using AI and that it forms malpractice.
- Teachers will use Senso, an IT use monitoring system, to ensure candidates will not access or use AI to complete their assessments.

Further details on the use of AI is attached as an appendix

## 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 (SMPP 4.3)
- Students will be informed they should report any concerns around another students' malpractice to their teacher immediately.
- Teachers will report any concerns received from students or concerns the teacher has to the Exams Officer in person.
- The Exams Officer will then report this concern using the appropriate mechanism, in line with JCQ regulations.

## 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 publication **Suspected Malpractice: Policies and Procedures** (SMPP 4.1.3)
- The head of centre will ensure that where a candidate who is a child/vulnerable adult 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)
- Malpractice by a candidate discovered in a controlled assessment, coursework or non- examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)
- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, 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)

## Communicating malpractice decisions

Once a decision has been made, it will be communicated in writing to the head of centre as soon as possible. The head of centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The head of centre will also inform the individuals if they have the right to appeal. (SMPP 11.1)

Additional information:

## Appeals against decisions made in cases of malpractice

Caister Academy 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 publication **A guide to the awarding bodies' appeals processes.**

## **Caister Academy guidance on use of AI**

### **Background**

Non-Examined Assessments (NEAs) are an integral part of the educational process and are subject to JCQ regulations to ensure fairness, consistency, and integrity in assessments. Caister Academy acknowledges the serious impact that plagiarism and the misuse of AIs can have on the integrity of qualifications. The use of AI technology in NEAs is subject to careful consideration and adherence to JCQ guidelines.

### **Rationale**

The misuse of AI in NEAs is based on the following key principles:

- **Fairness:** The misuse of AI could provide certain students with an unfair advantage. It is essential to ensure that all students have an equal opportunity to demonstrate their skills and knowledge.
- **Authenticity:** NEAs are intended to assess a student's individual understanding and application of subject matter. The misuse of AI could compromise the authenticity of a student's work and undermine the educational objectives of NEAs.
- **JCQ Regulations:** Caister Academy is committed to complying with JCQ regulations, which restrict the use of AI in NEAs. Deviating from these regulations would risk the validity and recognition of our qualifications.

### **Guidance on use of AI in NEAs:**

As per JCQ regulations, AI tools must only be used when the conditions of the assessment permit the use of the internet and where the student is able to demonstrate that the final submission is the product of their own independent work and independent thinking. AI misuse constitutes malpractice as defined in the JCQ Suspected Malpractice: Policies and Procedures (<https://www.jcq.org.uk/exams-office/malpractice/>).

Students must not, where internet use is permitted:

- Copy or paraphrase sections or whole responses of AI-generated content so that the work is no longer the student's own
- Use AI to complete parts of the assessment so that the work does not reflect the student's analysis, evaluation or calculations
- Submit work with intentionally incomplete or misleading references or bibliographies.

Students must:

- Where internet use is permitted, and AI tools have been used as a source of information, acknowledgement must show the name of the AI source used and should show the date the content was generated. For example: ChatGPT 3.5 (<https://openai.com/blog/chatgpt/>), 25/01/2024. The student must retain a copy of the question(s) and computer-generated content for reference and authentication purposes, in a non-editable format (such as a screenshot) and provide a brief explanation of how it has been used.

### **Implementation**

- **Awareness:** Students and teachers will be made aware of the misuse of AI in NEAs through various means, including course handbooks, informational sessions, and this procedure document.
- **Monitoring:** Caister Academy will actively monitor NEAs to ensure compliance with the JCQ's guidance on use of AI. Where teachers have doubts about the authenticity of student work submitted for assessment (for example, they suspect that parts of it have been generated by AI but this has not been acknowledged), they must investigate and take appropriate action. Any violations and malpractice will be investigated, and appropriate actions will be taken.
- **Support:** Caister Academy will provide support and guidance to students to help them understand the importance of academic integrity and the consequences of using AI in NEAs.

### **Consequences of violation/malpractice**

- Any student found to be in violation of this procedure by incorrectly using AI in NEAs will be subject to disciplinary action, as per Caister Academy's Malpractice Policy. If AI misuse is

detected or suspected by the centre and the declaration of authentication has been signed, the case must be reported to the relevant awarding organisation.

Consequences may include but are not limited to:

- Invalidation of the NEA in question.
- A failing grade for the NEA or the entire course.