

# MALPRACTICE AND MALADMINISTRATION POLICY

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## 1. SCOPE

This policy describes how suspected or alleged incidents of malpractice and/or maladministration are dealt with by EasTec UK Ltd where there are reasonable grounds for suspicion or allegation.

This policy is designed to ensure that any such incidents are prevented where possible, and thoroughly investigated with appropriate action taken where malpractice/maladministration is suspected or alleged.

## 2. RESPONSIBILITIES

This policy applies to those who work for or contracted to undertake work on behalf of EasTec UK Ltd

## 3. DEFINITIONS

Malpractice covers any deliberate actions, neglect, wrong doing, misconduct or other practice that compromises, or could compromise the integrity of the training and/or assessment and validity of results. For example, the failure to maintain appropriate records or systems to the deliberate falsification of records in order to claim certificates.

Maladministration is any activity, neglect, default or other practice that results in the inefficient, dishonest or just bad administration or management which may or may not be deliberate. For example, breach of security or confidentiality of assessment materials including loss or theft, persistent mistakes and inaccurate learner records.

### 3.1 Types of malpractice

- Insecure storage of assessments and learner evidence
- Misuse of assessment documents including inappropriate adjustments
- Improper/excessive assistance to learners to aid their achievement
- Deliberate falsification of records in order to claim certificates
- Plagiarism of another's work
- Cheating during assessment
- Obtaining unauthorised access to assessment or examination material
- Impersonating a candidate (i.e. claiming to be someone other than yourself)
- Submitting false claims for certificates or skills identity cards
- False ID used at the registration stage

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## 3.2 Types of maladministration

- Persistent late learner registrations and certificates
- Registering learners for the wrong training or qualification
- Inaccurate claim for certificates
- Failure to maintain appropriate records, e.g. certification claims and/or forgery of evidence for assessments
- Withholding of information, by deliberate act or omission
- Misuse of EasTec UK Ltd, logo and trademark
- Misuse of Awarding Organisation, Accrediting body or regulators logo and trademark
- Failure to the requirements of reasonable adjustments and special considerations

## 4. DEALING WITH MALPRACTICE AND MALADMINISTRATION

### 4.1 Identification

EasTec UK Ltd has appropriate systems and processes in place to identify and effectively deal with malpractice which include:

- Ongoing quality assurance and audits
- Through complaints or feedback received
- Whistleblowing
- Information from other sources

### 4.2 Response

In a case of suspected malpractice or maladministration EasTec UK Ltd will review the information presented and decide whether it is appropriate to take no further action or to investigate. EasTec UK Ltd will make an initial response in writing within 5 working days.

### 4.3 Investigation

The fundamental principle of investigation is to conduct them in a fair, reasonable and legal manner, ensuring that all relevant information is considered without bias. Incidents will be investigated as follows:

- Establish the facts relating to allegations/complaints in order to determine whether any irregularities have occurred
- Identify the cause of the irregularities and those involved

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- Establish the scale of the irregularities
- Notify parties concerned and request an account of the incident
- Gather relevant information from records held – these may include registration data, assessment records or any other information deemed relevant to the investigation
- Consult with others in order to get a full picture if necessary
- Undertake further discussions including face to face meetings if deemed necessary
- Determine whether remedial action is required to reduce the risk to current registered learners and to preserve the integrity of the training or qualification
- Identify and, if necessary, take action to minimise any risks
- Ascertain whether any action is required in respect of certificates already issued
- Identify any changes to policies and procedures
- Identify any adverse patterns or trends.

## 4.4 Outcomes

Where investigations establish that malpractice/maladministration has in fact occurred EasTec UK Ltd will take appropriate action. Such actions will be proportionate to the gravity and scope of the occurrence and may include the following:

- The implementation of corrective action plans to prevent re-occurrence
- Additional monitoring
- Suspending or removing course registration
- Suspending or removing contract
- Withdrawal of certificates
- Imposing other sanctions as appropriate.

## 4.5 Malpractice and maladministration process and time-scales from notification

- Report any malpractice or maladministration to the Director of EasTec UK Ltd
- Acknowledge response of a malpractice or maladministration within 5 days
- Investigation and gathering of evidence 15 days
- Outcome letter within 20 days of the acknowledgement

## 4.6 Appeals

Everyone has the right to appeal where a case of malpractice or maladministration has been upheld.

- An appeal against a malpractice or maladministration decision must be submitted in writing to EasTec UK Ltd within 5 days of the decision

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- The appeal will be investigated by a senior member of EasTec UK Ltd
- The decision will be communicated within 20 days from receipt of initial appeal
- The decision will be final.

## 4.7 Reporting

EasTec UK Ltd record incidents of malpractice and maladministration to identify and monitor any recurrent issues or trends.

## 5. ADVERSE EFFECTS

EasTec UK Ltd will take all reasonable steps to prevent any potential adverse effect to any incident that may arise. Where an incident brings the outcome of other results into serious question this would be considered a potential 'adverse effect' as other learners may be affected.

In such cases EasTec UK Ltd will:

- Identify any other learner who has been affected
- Correct or mitigate the effect as far as possible – for example adjusting marks
- Take action to avoid a re-occurrence – this may include removal of
- instructors/assessors.

Examples of adverse effects

- There is a substantial error in training or assessment materials
- There has been a loss or theft of, or breach of confidentiality in training or assessment materials
- Incorrect certificates have been issued. Certificates will be revoked if the result on the certificate is false because of malpractice or maladministration.

EasTec UK Ltd will inform, where appropriate, any malpractice/maladministration and adverse effects to the appropriate Awarding Organisation, Accrediting Body or Regulator. Contact details for a regulator or a regulated Awarding Organisation can be obtained from the following regulators website.

- SQA Accreditation <http://accreditation.sqa.org.uk/accreditation/home>
- Ofqual <https://www.gov.uk/government/organisations/ofqual>
- Qualification Wales <http://qualificationswales.org/splash?orig=/>
- CCEA <http://www.ccea.org.uk>