



# Malpractice and Maladministration Policy (Apprenticeships training only)

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## Introduction

This policy applies to all Makers staff, clients, students and customers working with Makers' apprentices who are registered on Makers programmes, courses or approved qualifications. This policy is also for use by our staff to ensure they deal with all malpractice and maladministration investigations consistently.

It sets out the steps our staff, students and other personnel must follow when reporting suspected or actual cases of malpractice/maladministration and our responsibilities in dealing with such cases. It also sets out the procedural steps we'll follow when reviewing the cases.

## Makers' responsibility

It is important that all staff involved in the management, assessment and quality assurance of our qualifications, and students, are fully aware of the contents of the policy and we have arrangements in place to prevent and investigate instances of malpractice and maladministration.

## Definitions

Makers accept the following definitions of Malpractice and Maladministration:

### Malpractice

Malpractice is any activity or practice which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and/or the validity of certificates.

It covers any deliberate actions, neglect, default or other practice that compromises, or could compromise:

- the assessment process;
- the integrity of a regulated qualification;
- the validity of a result or certificate;
- the reputation and credibility of Makers; or,
- the qualification or the wider qualifications community.

Malpractice may include a range of issues from the failure to maintain appropriate records or systems, to the deliberate falsification of records to claim certificates.

For this policy, this term also covers misconduct and forms of unnecessary discrimination or bias toward specific groups of learners.

## Maladministration

Maladministration is any activity or practice which results in non-compliance with administrative regulations and requirements and includes the application of persistent mistakes or poor administration.

### Examples of maladministration:

- Persistent failure to adhere to our learner registration and certification procedures
- Persistent failure to adhere to our centre recognition and/or qualification requirements and/or associated actions assigned to the centre
- Late learner registrations (both infrequent and persistent)
- Unreasonable delays in responding to requests and/or communications from Makers
- Inaccurate or fraudulent claim(s) for certificates
- Failure to maintain appropriate auditable records, e.g. certification claims and/or forgery of evidence
- Withholding of information, by deliberate act or omission, from us which is required to assure Active Examples of malpractice
- Failure to carry out an internal assessment, internal moderation or internal verification following our requirements
- Deliberate failure to adhere to our learner registration and certification procedures
- Deliberate failure to continually adhere to our company recognition and/or qualification approval requirements or actions assigned to your centre
- Deliberate failure to maintain appropriate auditable records, e.g. certification claims and/or forgery of evidence
- Intentional withholding of information from us which is critical to maintaining the rigour of quality assurance and standards of qualifications
- Collusion or permitting collusion in exams/assessments
- Learners still working towards qualification after certification claims have been made
- Plagiarism by students/staff
- Copying from another student (including using IT to do so).

## Making an allegation of maladministration or malpractice

Anybody who identifies or is made aware of suspected or actual cases of malpractice or maladministration at any time must notify the Director of Delivery. In doing so they should outline their allegations in writing/email and enclose appropriate supporting evidence.

All allegations must include (where possible):

- Individual's name
- Reporting individual's name and job role
- Nature of the suspected or actual malpractice and associated dates details and outcome of any initial investigation carried out by the centre or anybody else involved in the case, including any mitigating circumstances

The Director of Delivery will conduct an initial investigation and ensure that all staff involved in the initial investigation are competent and have no personal interest in the outcome of the investigation.

In all cases of suspected malpractice and maladministration reported we'll protect the identity of the 'informant' following our duty of confidentiality and/or any other legal duty.

## Confidentiality and whistleblowing

Sometimes a person making an allegation of malpractice or maladministration may wish to remain anonymous. Although it is always preferable to reveal your identity and contact details to us; if you are concerned about the possible adverse consequences you may request that the Director of Delivery does not divulge your identity.

While we are prepared to investigate issues that are reported to us anonymously we shall always try to confirm an allegation using a separate investigation before taking up the matter with those the allegation relates.

## Investigations

Makers are committed to investigating all allegations of malpractice or maladministration thoroughly and promptly.

## Responsibility for the investigation

Per regulatory requirements, all suspected cases of maladministration and malpractice will be examined promptly by Makers to establish if malpractice or maladministration has occurred and will take all reasonable steps to prevent any adverse effect from the occurrence as defined by Ofqual.

We will acknowledge receipt, as appropriate, to external parties within 48 hours.

Our Director of Delivery will be responsible for ensuring the investigation is carried out promptly and effectively and per the procedures in this policy and will allocate a relevant member of staff to lead the investigation and establish whether or not the malpractice or maladministration has occurred, and review any supporting evidence received or gathered by Makers.

## Notifying relevant parties

Where applicable, our Director of Delivery will inform the appropriate regulatory authorities if we believe there has been an incident of malpractice or maladministration which could either invalidate the award of a qualification or it could affect another awarding organisation.

Where the allegation may affect another awarding organisation and their provision we will also inform them per the regulatory requirements and obligations imposed by the regulator Ofqual. If we do not know the details of organisations that might be affected we will ask Ofqual to help us identify relevant parties that should be informed.

## Timelines and summary process

We aim to action and resolve all stages of the investigation within 10 working days of receipt of the allegation.

The fundamental principle of all investigations is to conduct them in a fair, reasonable and legal manner, ensuring that all relevant evidence is considered without bias. In doing so investigations will be based on the following broad objectives:

- To establish the facts relating to allegations/complaints to determine whether any irregularities have occurred
- To identify the cause of the irregularities and those involved
- To establish the scale of the irregularities
- To evaluate any action already taken
- To determine whether remedial action is required to reduce the risk to currently registered learners and to preserve the integrity of Makers and the qualification
- To identify any adverse patterns or trends.

The investigation may involve a request for further information from relevant parties and/or interviews with personnel involved in the investigation. Therefore, we will:

- Ensure all material collected as part of an investigation must be kept secure
- If an investigation leads to invalidation of certificates, or criminal or civil prosecution, all records and original documentation relating to the case will be retained until the case and any appeals have been heard and for five years thereafter
- Expect all parties, who are either directly or indirectly involved in the investigation, to fully cooperate with us

Either at the notification of a suspected or actual case of malpractice or maladministration and/or at any time during the investigation, we reserve the right to withhold an individual's and/or cohort's results.

Where a member of Makers' staff or a Makers Associate is under investigation the organisation, at their discretion, may choose to suspend them or move them to other duties until the investigation is complete.

Throughout the investigation the Director of Delivery will be responsible for overseeing the work of the investigation team to ensure that due process is being followed, appropriate evidence has been gathered and reviewed and for liaising with and keeping informed relevant external parties.

## Investigation reports

After an investigation, we'll produce a draft report for the parties concerned to check the factual accuracy. Any subsequent amendments will be agreed upon between the parties concerned and ourselves. The report will:

- Identify where the breach, if any, occurred

- Confirm the facts of the case
- Identify who is responsible for the breach (if any)
- Confirm an appropriate level of remedial action to be applied

Makers will make the final report available to the parties concerned and to the regulatory authorities and other external agencies as required.

If it was an independent/third party that notified us of the suspected or actual case of malpractice, we'll also inform them of the outcome – normally within 10 working days of making our decision - in doing so we may withhold some details if to disclose such information would breach a duty of confidentiality or any other legal duty.

If it's an internal investigation against a member of Makers staff the report will be agreed upon by the Leadership Team, along with the relevant internal managers and appropriate internal disciplinary procedures will be implemented.

## Investigation outcomes

If the investigation confirms that malpractice or maladministration has taken place we will consider what action is appropriate to take to:

- Minimise the risk to the integrity of certification now and in the future
- Maintain public confidence in the delivery and awarding of qualifications
- Discourage others from carrying out similar instances of malpractice or maladministration
- Ensure there has been no gain from compromising our standards

The action we take may include:

- Imposing any appropriate action to address the instance of malpractice or maladministration and to prevent it from recurring in the future
- In cases where certificates are deemed to be invalid, inform the Awarding Organisation concerned and the regulatory authorities why they're invalid and any action to be taken for reassessment and/or for the withdrawal of the certificates. We'll also let the affected learners know the action we're taking and that their original certificates are invalid and ask where possible to return the invalid certificates to Makers.
- Informing relevant third parties (e.g. funding bodies) of our findings in case they need to take relevant action with the centre.

In addition, to the above, the Director of Delivery will record any lessons learnt from the investigation and pass these on to relevant internal colleagues to help prevent the same instance of maladministration or malpractice from reoccurring.

## Complaints and appeals

If the relevant party wishes to appeal against our decision to impose sanctions, information regarding this process can be found in the [complaints policy](#).

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