



## UHL Apprenticeship and Development Centre Malpractice and Maladministration Policy

**Written by:-** Quality Lead Updated by Senior Learning and Development Manager  
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**Checked and approved by:-** SWOD  
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**Consultation:** Apprenticeship and Development Centre  
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**Supporting documents:-**

- Centre Conducting Exams and Invigilation Policy
- Centre Plagiarism, Collusion and Cheating Policy
- ILM Malpractice and Maladministration Policy
- ILM Plagiarism, Collusion and Cheating Policy and Guidance
- City and Guilds Managing Cases of Suspected Malpractice in Examinations and Assessments Guidance Notes
- Pearson Centre Guidance for Dealing with Malpractice
- Pearson's BTEC Centre Guide to Managing Quality
- JCQ General and Vocational Qualifications Suspected Malpractice in Examinations and Assessments
- Centre Appeals Policy
- Centre Comments, Compliments, Concerns and Complaints Policy

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V1 November 2017 Working Draft  
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**Content**

1.0	Rationale	2
2.0	Definitions	2
3.0	Centre Responsibility	2
4.0	Process to Raise Concerns	2
5.0	Concerns about the Policy	3
Appendix 1	Centre Examples	4
Appendix 2	Learner Examples	6
Appendix 3	Process	7
Appendix 4	Log of Concerns Raised	8



## 1.0 Rationale

The University Hospitals of Leicester Apprenticeship and Development Centre is committed to delivering high quality standards and qualifications in a fair, honest and consistent manner. To this end all Centre staff and those involved in the implementation, assessment and quality assurance of these standards and qualifications are expected to demonstrate honesty and integrity in carrying out their respective roles and responsibilities.

## 2.0 Definitions of Malpractice and Maladministration

2.1 Malpractice is *'any activity, practice or omission which is either wilfully negligent or deliberately contravenes regulations'* (ILM Malpractice and Maladministration Policy V3 July 2017) and comprises the

1. Internal or external assessment process
2. Integrity of a qualification
3. Validity of a result or certificate
4. Reputation and credibility of the UHL Apprenticeship and Development Centre.

2.2 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.

2.3 Appendix 1 describes examples of Centre Malpractice and Maladministration and appendix 2 describes examples of Learner Malpractice.

## 3.0 Centre responsibility

It is important that all staff involved in the management, assessment and quality assurance of our qualifications, and learners, are fully aware of the contents of the policy and arrangements in place to prevent and investigate instances of malpractice and maladministration. It is the responsibility of Centre staff to report any suspected or actual cases of malpractice or maladministration to the Quality Lead and to cooperate fully with any following investigation by the relevant awarding body.

## 4.0 Process for making an allegation of malpractice or maladministration

4.1 Anybody who identifies or is made aware of suspected or actual cases of malpractice or maladministration at any time must follow the process in appendix 3 and ensure this is recorded on appendix 4. All allegations must include:

- Learner's name and learners Unique Learner Number (ULN)/registration number
- The staff members name and job role - if they are involved in the case
- Details of the programme affected or nature of the service affected
- Nature of the suspected or actual malpractice.



4.2 The Quality Lead will then report the incident to the Centre Governance Team and, where relevant, the awarding body for the qualification. If an awarding body is applicable their processes should then be followed.

4.2.1 For **Institute of Leadership and Management** all suspected or alleged cases of malpractice or maladministration must be reported within 10 working days of identification and prior to any internal investigation activity using appendix 4 and the relevant forms from appendix 2 or 3 taken from the ILM Malpractice and Maladministration Policy (V3 July 2017).

The completed forms must be sent to ILM's Regulation team by emailing [ILMRegulation@i-l-m.com](mailto:ILMRegulation@i-l-m.com). The outcome of the investigation will be communicated to the Centre within 15 days after the conclusion of the investigation.

4.2.2 For **City and Guilds** all suspected or alleged cases of malpractice or maladministration must be reported at the earliest opportunity, using the suspected candidate malpractice notification form found in City and Guilds Managing Cases of Suspected Malpractice in Examinations and Assessments Guidance Notes (V5.6 February 2013). For malpractice in examinations this must be sent to [policy@cityandguilds.com](mailto:policy@cityandguilds.com). All other examples of malpractice must be sent to [reviewandregulation@cityandguilds.com](mailto:reviewandregulation@cityandguilds.com).

4.2.3 For **Pearson** the Investigations team need to be informed by submitting a Joint Council of Qualifications (JCQ) Form M2 (a) (downloadable from [www.jcq.org.uk/exams-office/malpractice](http://www.jcq.org.uk/exams-office/malpractice) with supporting documentation to [pgsmalpractice@pearson.com](mailto:pgsmalpractice@pearson.com).

**5.0** There is no training for this policy however should Centre staff or learners have any concerns over the content or application of the content then advice should be sought from the Quality Lead in the first instance.



## Appendix 1

### Examples of Centre Malpractice and Maladministration

May include:-

1. Inadequate procedures for the induction of staff
2. Failure to provide members of staff and learners with the knowledge of their responsibilities through relevant policies and procedures, including potential consequences of non-compliance
3. Inadequate support for members of staff and learners including ways of helping learners understand how malpractice can occur and be prevented
4. Failure to review systems, policies and procedures to ensure they remain fit for purpose
5. Failure to follow the Centres procedures relating to malpractice, maladministration and/or plagiarism, cheating and collusion and those of the awarding bodies
6. Failure to have robust procedures in place for the review and monitoring of administration, assessment and/or quality processes that could result in the deliberate falsification of records.

### Examples of Centre Malpractice in relation to assessment and/or certification

May include:-

1. Assisting or prompting learners in the production of answers to assessment/examinations
2. The unauthorised obtaining, disseminating or the facilitating access to secure assessment/examination materials
3. Any action or inaction that allows learners to have an unfair advantage
4. Falsification or fabrication of learner's marks, assessment evidence records, observations, certification claims or results documentation
5. Manipulating learner samples for the purpose of external quality assurance/moderation. The sample must be representative of the standard of work across the rest of the qualification
6. Failure of a member of Centre staff to report any instances of malpractice or suspected malpractice to the Quality Lead/Senior Training and Development Manager.

### Examples of Centre Malpractice in relation to the conduct of examinations

May include:-

1. Breaches of any secure material, including examination papers or materials and their electronic equivalents
2. Amendment of examination materials without permission
3. Unauthorised changes to examination timetables
4. Failure to issue learners with appropriate notices and warnings e.g. advising learners to remain quiet during an exam
5. Non-adherence to the invigilation requirements
6. Failure to despatch examination papers to markers promptly and efficiently



7. Members of Centre staff undertaking any examinations on behalf of the learner(s)
8. Failure to provide access arrangements in accordance to awarding body requirements. Ensuring access to PC's with correct licenses on. Please ensure any additional learner support is known and supported prior to the session e.g. additional time allocated for dyslexia etc.

### **Centre Maladministration**

May include:-

1. Persistent mistakes or poor administration within the Centre resulting in the failure to keep accurate and appropriate learner assessment records
2. Inaccurate recording of learner assessment decisions leading to invalid claims for certification
3. Failure to keep accurate records of learner assessment decisions for the specified timeframe
4. Failure to keep question papers secure prior to and following examinations.



## Appendix 2

### Examples of Learner Malpractice

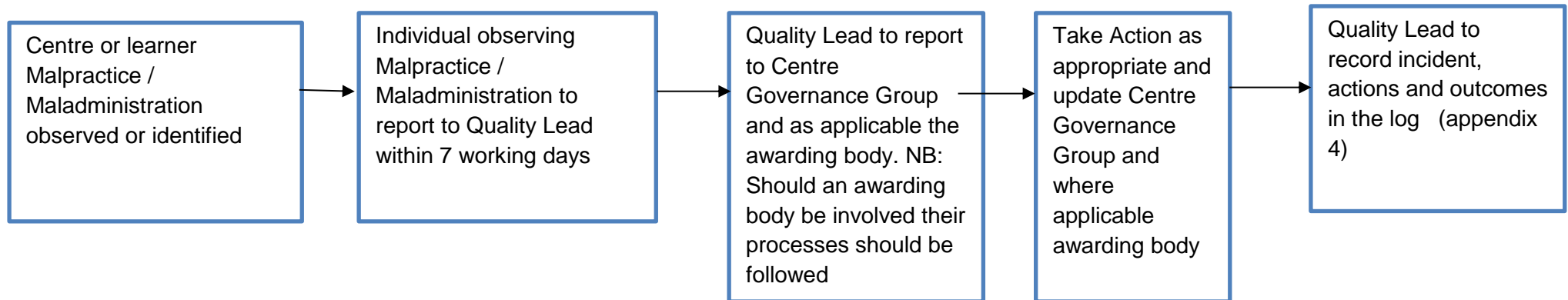
May include:-

1. Obtaining or attempting to obtain and/or pass on secure assessment/examination material
2. Misuse or attempted misuse of assessment/examination material
3. Falsification or fabrication of assessment/examination evidence
4. Introduction of unauthorised material or instruments into the assessment session/examination room
5. Any form of plagiarism
6. Collusion with others
7. Copying from another learner or allowing work to be copied
8. Deliberate destruction of another's work
9. False declaration of authenticity in relation to the contents of a portfolio or coursework
10. Failure to abide by the instructions of an invigilator or allocated staff member
11. Disruptive or offensive behaviour.



### Appendix 3

## The Process for Dealing with Centre and Learner Malpractice





## Appendix 4

**Malpractice / Maladministration Log**

Date (of notification)	Reported by	Brief summary of Malpractice / Maladministration	Date awarding body notified	Summary of action required by awarding body	Summary of outcome – including dates