Empowering Futures

# Malpractice and Maladministration Policy and Procedure

## Purpose:

The purpose of this policy is to protect the integrity of Empowering Futures’ assessment and qualification processes by preventing, detecting, investigating, and addressing all cases of malpractice and maladministration. This policy ensures that learners, staff, and stakeholders understand their responsibilities and that any instances of non-compliance are dealt with fairly and transparently.

## Scope:

This policy applies to all staff, learners, assessors, internal quality assurers, contractors, and partner organisations involved in the delivery, assessment, verification, and administration of regulated and non-regulated qualifications through Empowering Futures. It includes alternative provision, adult training, teacher education, and private tuition services.

## Policy Statement:

Empowering Futures is committed to delivering high-quality, fair, and compliant education. Malpractice and maladministration undermine trust in our processes and learners' achievements. We operate a zero-tolerance approach to deliberate breaches and ensure that all allegations are investigated thoroughly and appropriately.

## Definitions:

Malpractice refers to any act that compromises the integrity of assessment, teaching, or certification. Examples include:  
- Plagiarism or copying another learner’s work.  
- Improper assistance to learners by staff.  
- Fraudulent certificate claims or assessment entries.  
- Impersonation during assessments.  
  
Maladministration refers to inefficient or negligent conduct of assessment and administration processes. Examples include:  
- Inaccurate records of learner achievement.  
- Failure to follow assessment or invigilation procedures.  
- Loss or mishandling of assessment evidence.

## Preventative Measures:

- Clear communication of assessment procedures to staff and learners.  
- Learners sign authenticity statements when submitting work.  
- Regular staff training on assessment protocols and awarding body requirements.  
- Secure storage of assessment materials, both digital and physical.  
- Monitoring and auditing of records and processes by the Quality Team.

## Procedures for Reporting and Investigation:

1. 1. Reporting Suspected Cases:

- Any learner, staff member, or stakeholder can report suspected malpractice or maladministration.  
- Reports can be made verbally or in writing to the Centre Manager or Quality Lead.  
- Anonymous concerns will be considered if sufficient evidence is provided.

1. 2. Initial Review and Escalation:

- The Quality Lead will conduct a preliminary review to assess the validity and seriousness of the claim.  
- If there is evidence of a potential breach, a formal investigation is launched.  
- In serious cases, the awarding organisation is informed immediately and involved in the investigation process.

1. 3. Investigation Process:

- An Investigating Officer is appointed (independent of the allegation).  
- Statements are collected from all relevant parties and reviewed alongside documentation or assessment evidence.  
- Learners or staff may be temporarily removed from assessment activity during the investigation to prevent compromise.  
- The investigation is concluded within 10–15 working days where possible.

1. 4. Outcomes and Sanctions:

- Outcomes may include: no case to answer, informal resolution, resubmission of work, disqualification of assessment, or disciplinary action.  
- For staff, this may lead to HR procedures being followed up to dismissal.  
- All outcomes are documented, and a report is kept in the centre’s secure incident register.

1. 5. Right to Appeal:

- Learners or staff have the right to appeal an outcome of an investigation within 10 working days.  
- Appeals are reviewed by a panel not previously involved in the case.

1. 6. Notification to External Bodies:

- Awarding organisations are notified where required and consulted throughout the investigation.  
- If malpractice is suspected in externally assessed components, the regulatory body will be informed.

## Roles and Responsibilities:

- Centre Manager: Oversees the integrity of centre operations and reporting to awarding bodies.  
- Quality Lead: Manages prevention, monitoring, and investigations of malpractice/maladministration.  
- Tutors and Assessors: Follow procedures, ensure learner awareness, report any suspected issues.  
- Learners: Complete all work honestly and report suspected malpractice.

## Monitoring and Review:

- A Malpractice Register is maintained by the Quality Team.  
- All cases are reviewed by the Senior Leadership Team termly to identify trends.  
- This policy is reviewed annually or following a serious incident.

## Approval and Review:

Date of Implementation: April 2025  
Next Review Date: March 2026  
Approved by: Rhean White - Director