



Hampshire Achieves and Secure & Specialist

Malpractice & Maladministration Policy & Procedures

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Contents

1.0	Introduction	3
2.0	Definitions of malpractice and maladministration	3
3.0	Conflict of Interest	3
4.0	Malpractice by learners	3
5.0	Malpractice/maladministration by staff	4
6.0	Malpractice/maladministration discovered by Hampshire Achieves	6
7.0	Malpractice/maladministration discovered by an Awarding Body or End Point Assessment Organisation	6
8.0	Whistle Blowing.....	6
9.0	Monitoring, Review & Audit.....	7

Malpractice and Maladministration Policy & Procedures

'The contents of this policy are an integral part of the Hampshire Achieves (HA) Quality Assurance Frameworks'.

1.0 Introduction

Hampshire Achieves and the Secure and Specialist service is committed to providing high quality learning opportunities to adults and young people. This includes ensuring that all learning is delivered professionally, fairly, and legitimately. Hampshire Achieves does not tolerate actions (or attempted actions) of malpractice and/or maladministration by learners or by staff, in connection with any awarding bodies qualifications, or end point assessment organisation's assessments.

1.1 Related Policies

This policy is developed in the context of other related policies, including:

- Internal Quality Assurance
- Conflict of Interest
- Safeguarding

2.0 Definitions of malpractice and maladministration

Malpractice consists of those acts which deliberately undermine the integrity and validity of assessment, the certification of qualifications and the authority of those responsible for conducting assessment and certification. Malpractice takes on many forms and generally constitutes an action that deliberately sets out to interfere or corrupt the assessment process or examination.

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

3.0 Conflict of Interest

HA conflict of interest processes have been designed to protect the integrity of awarding bodies assessments undertaken at our centre, and we want to make sure they remain fair, we also want to make sure individuals at our centre are protected where there is potential, or a perception, that they could be influenced by any personal interests. All staff involved with delivering and assessing qualifications are required to familiarise themselves with the Conflict of Interest Policy and procedures prior to any involvement in assessments, and to declare any conflict of interest by following the guidance set out in the Conflict of Interest policy.

4.0 Malpractice by learners

Malpractice by learners may include (This list is not exhaustive and other instances of malpractice may be considered at the discretion of Hampshire Achieves):

- Plagiarism: unacknowledged copying from or reproduction of third-party sources (including the internet and AI tools); incomplete referencing

- the use of external aids, particularly in relation to spelling, punctuation and grammar, for example, dictionary, spelling and grammar checking software, or other cloud-based or AI tools
- accessing the internet, online materials or AI tools during remote assessment and remote invigilation, where this is not permitted.
- collusion by working collaboratively with other learners to produce work that is submitted as individual learner work
- copying another learner's work and submitting as their own (including the use of ICT to aid copying)
- deliberate destruction of another's work
- fabrication of results or evidence
- false declaration of authenticity in relation to the contents of a portfolio or coursework
- impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.
- possession of any materials not permitted in the assessment room, regardless of whether or not they are relevant to the assessment, or whether or not the learners refer to them during the assessment process, for example notes, blank paper, electronic devices including mobile phones, smart watches, books, dictionaries / calculators (when prohibited).
- communicating in any form, for example verbally or
- electronically, with other learners in the assessment room when it is prohibited.
- copying the work of another learner or knowingly allowing another learner to copy from their own work
- illegally gaining access to examination/assessment/test papers before the allocated time of the assessment
- failing to conduct themselves in line with the rules of the assessment criteria during examination/assessment/test.
- failing to follow guidelines and regulations regarding the setting up and completion of proctoring examinations

5.0 Malpractice/maladministration by staff

Malpractice/maladministration by staff may include (this list is not exhaustive and other instances of malpractice/maladministration may be considered at the discretion of Hampshire Achieves):

- failing to maintain agreed procedures to ensure the assessment/test/examination rules and regulations of the Awarding Body (AB) or End Point Assessment Organisation (EPAO) are followed
- breaking the assessment regulations of the AB or EPAO
- failing to keep test/examination papers secure prior to the assessment taking place
- failing to keep work secure and confidential on completion of the assessment/test/examination until received by the AB or EPAO
- improper assistance to learners

- inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the learners' achievement to justify the marks given or assessment decisions made
- failure to keep learner coursework/portfolios of evidence secure
- fraudulent claims for certificates
- inappropriate retention of certificates
- assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner
- producing falsified witness statements, for example for evidence the learner has not generated
- allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment / task / portfolio / coursework
- facilitating and allowing impersonation
- misusing the conditions for special learner requirements, for example where learners are permitted support, such as a scribe, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.

Hampshire Achieves aims to:

- identify and minimise the risk of malpractice or maladministration by learners or staff
- respond to any incident of alleged malpractice or maladministration promptly and objectively
- standardise and record any investigation of malpractice or maladministration to ensure openness and fairness
- impose appropriate penalties and/or sanctions on learners or staff where incidents (or attempted incidents) of malpractice/maladministration are proven
- protect the integrity of Hampshire Achieves; AB's qualifications; and EPAOs Assessments.

In order to do this, Hampshire Achieves will:

- seek to avoid potential malpractice by using the induction period and the learner handbook to inform learners of the policy on malpractice and the penalties for attempted and actual incidents of malpractice
- ask learners to declare that their work is their own
- ask learners to provide evidence that they have acknowledged any sources used
- ask tutors and assessors to be diligent and ensure that no materials that could constitute allowing learners to copy, or assist them within an assessment are available during formal assessment processes
- ensure all staff are proactive in managing assessments/tests/examinations, following the appropriate policies and procedures set by Hampshire Achieves

- conduct an investigation in a form commensurate with the nature of a malpractice or maladministration allegation. Such an investigation will be supported by the Head of Service (or their nominee e.g., Development Manager (Quality & Assessment) or Education Manager (Secure and Specialist)) and all personnel linked to the allegation.

Alleged malpractice or maladministration can be identified by anyone e.g., staff, learners, awarding bodies, and in a several ways for example:

- through quality assurance activity.
- from the invigilator or examinations officer.
- reported by a marker or assessor, through the identification of shared answers in an examination script or identical wording in a coursework assignment.
- identified by a moderator, who may come across identical work in coursework assignments.

6.0 Malpractice/maladministration discovered by Hampshire Achieves

In the event of alleged malpractice or maladministration being identified, the Development Manager (Quality & Assessment) or Education Manager (Secure and Specialist) will:

- request the person who has identified the discrepancy, malpractice, or maladministration to submit a written report giving full details of the incident
- make the staff/learner fully aware at the earliest opportunity of the nature of the alleged malpractice or maladministration and of the possible consequences should malpractice or maladministration be proven
- give the staff/learner the opportunity to respond to the allegations made
- inform the staff/learner of the avenues for appealing against any judgment made
- document all stages of any investigation.

Once all evidence has been collated, and if there is a strong case that malpractice or maladministration has taken place the Development Manager (Quality & Assessment) or Education Manager (Secure and Specialist) will contact the AB or EPAO concerned to discuss their findings and seek additional advice and guidance and cooperate with any request from the AB or EPAO.

7.0 Malpractice/maladministration discovered by an Awarding Organisation or End Point Assessment Organisation

In the event of an AB or EPAO discovering suspicious activity they will contact Hampshire Achieves to discuss their findings and potentially request an investigation.

Hampshire Achieves will:

- comply with AB or EPAO requests for information in relation to the fact finding or investigation in the timescales agreed by them

- advise staff of the concerns and request relevant personnel to provide the required support to Hampshire Achieves who will forward the findings to the awarding body.
- inform the staff or learner if they are suspected of malpractice that a fact find and/or investigation will be launched and that they have a right to reply and appeal against any sanction imposed on them.

The AO or EPAO may impose penalties and/or sanctions on learner(s), approved centres, or centre staff where incidents (or attempted incidents) of malpractice/maladministration have been proven.

8.0 Whistle Blowing

Hampshire Achieves are committed to the highest standards of openness and accountability and takes malpractice seriously. All staff have a right and duty to report concerns of malpractice. All workers have a right and a duty to report concerns of malpractice that are in the public interest. Whistleblowing is 'making a disclosure in the public interest' and occurs when a worker raises a concern about a danger, illegality or malpractice that affects others, for example members of the public.

A member of staff who has a whistleblowing concern should refer to the Hampshire County Council Whistleblowing Policy.

9.0 Monitoring, Review & Audit

The contents of all policy and procedures will be monitored regularly by Hampshire Achieves Performance Management Group (PMG). Policies and procedures will be kept updated in accordance with any mid-year changes in the law, regulations, or changes to the Services' provision, with updates approved by PMG. All policy and procedures will be reviewed in line with our policy schedule to determine their effectiveness, and where any changes are required, these will be applied and ratified. A summary of all changes will be kept as part of the PMG meeting notes. In addition, an annual cycle of internal policy compliance/audits defined by Senior Managers will provide the assurance of the overall effectiveness of the Services ethos, policies, and procedures, and will confirm operational effectiveness, and compliance with our own quality assurance framework and any relevant laws or regulations.