

# Malpractice and Maladministration Policy and Procedure

**POLICY STATEMENT:** The purpose of this policy is to: Outline the Malpractice and Maladministration Policy and Procedure for SALT TRAINING LIMITED and identifies to the public, customers/learners, staff and our awarding organisation SALT TRAINING LIMITED's policies and procedures in dealing with such issues.

## Introduction

This policy is aimed at customers and registered learners; also, at colleagues and others (who are delivering qualifications or units within or outside the UK on behalf of SALT TRAINING LIMITED).

It is also for use by our staff to ensure they deal with all malpractice and maladministration investigations in a consistent manner.

The policy requires those who know of an actual or potential instance of malpractice or maladministration to inform SALT TRAINING LIMITED Managing Director of their concerns at the first opportunity. SALT TRAINING LIMITED Managing Director will, at all times, follow the procedures set out by the Awarding Body, including informing the awarding body immediately of actual or suspected instances of malpractice.

## Definition of Malpractice

Malpractice is essentially 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 SALT TRAINING LIMITED; 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 in order to claim certificates.

For the purpose of this policy this term also covers misconduct and forms of unnecessary discrimination or bias towards certain or groups of learners.

## Definition of Maladministration

Maladministration is essentially any activity or practice which results in non-compliance with administrative regulations and requirements and includes the application of persistent mistakes or poor administration or payments within a centre (e.g., inappropriate learner records).

## Examples of Malpractice and Maladministration

**Policy Owner:** Managing Director  
**Stage of Approval:** Approved  
**Date of Review:** January 2024

The categories listed below are examples of centre and learner malpractice and maladministration. Please note that these examples are not exhaustive:

- Denial of access to premises, records, information, learners and staff to any authorised awarding body representative and/or the regulatory authorities
- Failure to carry out internal assessment, internal quality assurance in accordance with our requirements
- Deliberate failure to adhere to awarding organisation learner registration and certification procedures
- Deliberate or persistent failure to continually adhere to awarding organisation centre recognition and/or qualification approval criteria or actions assigned
- Deliberate failure to maintain appropriate auditable records, e.g. certification claims and/or forgery of evidence
- Persistent instances of maladministration within the centre
- Fraudulent claim for certificates
- The unauthorised use of inappropriate materials/equipment in assessment settings (e.g. mobile phones)
- 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
- Contravention by centres and learners of the assessment arrangements specified for the qualifications
- A loss, theft of, or a breach of confidentiality in any assessment materials
- Plagiarism by learners/staff
- Copying from another candidate (including using ICT to do so)
- Unauthorised amendment, copying or distributing of exam/assessment papers/materials
- Inappropriate assistance to learners by centre staff (e.g. unfairly helping them to pass a unit or qualification)
- Submission of false information to gain a qualification or unit
- Deliberate failure to adhere to, or to circumnavigate, the requirements of Reasonable Adjustments and Special Considerations Policy
- Failure to fully induct staff on the policies and procedures of the company.

## **Process for Making an Allegation of Malpractice or Maladministration**

Anybody who identifies or is made aware of suspected or actual cases of malpractice or maladministration is requested to inform SALT TRAINING LIMITED immediately, or if they consider it more appropriate, immediately notify the awarding organisation. In doing so they should put the details in writing/email and enclose appropriate supporting **evidence**.

All allegations must include (where possible):

- centre's name, address and number
- learner's name and unique registration number
- centre/personnel's details (name, job role) if they are involved in the case
- details of the qualification affected or nature of the service affected
- nature of the suspected or actual malpractice and associated dates
- details and outcome of any initial investigation carried out by the SALT TRAINING LIMITED or anybody else involved in the case, including any mitigating circumstances

In all instances of actual or suspected malpractice the relevant awarding organisation will be notified immediately by SALT TRAINING LIMITED. We have a responsibility to the awarding organisation and relevant regulatory authorities to ensure that all investigations are carried out rigorously and effectively.

Where actual or suspected malpractice has occurred, we will follow the requirements set out in the Malpractice and Maladministration policy of the Awarding Body and co-operate fully with their QA team to get the matter resolved or the appropriate action taken.

If after investigation a staff member has been found in breach of malpractice or maladministration their course approval may be removed. It is a condition of Recognition as a Centre that if the awarding body requires SALT TRAINING LIMITED to take action against a staff member, we have to comply with this request.'

Where there is poor administration SALT TRAINING LIMITED will produce a quality improvement plan to be implemented internally to reduce the risk of maladministration.

In all cases of suspected malpractice and maladministration reported, SALT TRAINING LIMITED will protect the identity of the 'informant' in accordance with our duty of confidentiality and/or any other legal duty.

### **Review Arrangements**

SALT TRAINING LIMITED will review the policy annually as part of our annual self-evaluation arrangements and revise it as and when necessary in response to customer and learner feedback, changes in our practices, actions from the regulatory authorities or external agencies, changes in legislation, or trends identified from previous allegations.