

**Dove Nest Group**  
**Malpractice and Maladministration**  
**Policy**

## DOVE NEST GROUP POLICIES AND PROCEDURES

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<b>Authors name(s)</b>	Graham Murphy
<b>Authors job title(s)</b>	Director of Apprenticeships
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Signed:



**Director Vince Hannant**

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# DOVE NEST GROUP POLICIES AND PROCEDURES

## 1. Introduction

1.1 Dove Nest Group is dedicated to providing the high-quality experience for all stakeholders. As part of this vision Dove Nest Group are insistent in upholding the integrity of the provision, qualifications and apprenticeships as a whole. This policy provides supports and guidance when dealing with instances of malpractice and / or maladministration

## 2. Scope

2.1 This policy applies to all full time, part-time employees, associates and learners of the Dove Nest Group who deliver or are on an Apprenticeships.

## 3. Objectives

- 3.1 This policy is to provide a clear and transparent process, to include role and responsibilities, when dealing with a suspected case of either malpractice or maladministration. The policy includes the necessary timeline and reporting for both a suspected case or where a case is proven, and where a case is proven, the appropriate next step for any person involved.
- 3.2 Dove Nest Group approach with staff is to reduce the risk and opportunity for instances of malpractice or maladministration though providing a comprehensive and robust induction and training programme. Therefore, where an instance of malpractice or maladministration occurs it will be dealt with through this policy.

## 4. Malpractice

### 4.1 Centre Staff Malpractice

The following are examples of potential malpractice by Dove Nest Group staff. The list is not exhaustive and other instances of malpractice may be considered and acted upon.

- Making changes to an Awarding Organisation (AO) examination.
- Failing to keep AO exam content secure.
- Failure to keep appropriate records.
- Obtaining unauthorised access to AO examination content prior to an examination.
- Assisting AO learners during a computer-based test or assessment, beyond that permitted by the AO.
- Allowing AO learners to sit examinations unsupervised.
- Failure to ensure that the examination room complies with AO requirements.
- Failure to keep AO learner's computer files secure.
- Assisting or prompting learners in the production of answers.
- Altering or adding to learner answers during or after the examination
- Making false declarations in administrative reports sent to AO
- Reporting false examination results to AO

### 4.2 Learner Malpractice

The following are examples of potential malpractice by learners. The list is not exhaustive and other instances of malpractice may be considered and acted upon.

- Misuse of AO examination material.
- Behaving in such a way as to undermine the integrity of the AO examination.
- Failure to abide by the instructions or advice of an invigilator, or the AO in relation to the examination rules and regulations.
- Failure to abide by the conditions of supervision designed to maintain the security of the AO examinations.
- Disruptive behaviour in the examination room (including the use of offensive language).
- Introduction of unauthorised material into the examination room e.g. notes, study guides, personal organisers, own blank paper, programmable calculators, dictionaries (when prohibited), personal stereos, mobile phones or other similar devices.
- Obtaining, receiving, exchanging or passing on information which could be AO examination related (or the attempt to) by means of talking or written paper/notes.

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- Impersonation: pretending to be someone else, arranging for another to take one's place in an AO examination.
- The inclusion of inappropriate, offensive or obscene content in either a computer-based test or assessment.
- Copying: from another learner (including the misuse of ICT to do so).
- Collusion: working collaboratively with other AO learners.
- Plagiarism: the failure to acknowledge sources properly and/or the submission of another person's work as if it were the AO learner's own work.
- Theft of another learner's work.
- The deliberate destruction of another AO learners work.
- The alteration of any results documentation, including certificates.

### 5. Maladministration

#### 5.1 Centre Maladministration

The following are examples of maladministration. The list is not exhaustive and other instances of maladministration may be considered and acted upon:

- Failure to adhere to learner registration and certification procedures
- Failure to maintain appropriate auditable records
- Unreasonable delays in responding to requests and communications from AO

Reference to Malpractice also covers those of Maladministration in the following sections.

### 6. Associated Procedures

#### 6.1 Procedures for informing candidates of Awarding Organisations' regulations

Verbal Announcements: Before the beginning of every examination, the invigilator is to ensure that AO learners are given a verbal reinforcement of the AO regulations. In addition, AO learners are given the opportunity to hand in mobile phones, other programmable devices, bags or any other items that may compromise the sitting of their exam until the exam is complete.

#### 6.2 Procedures for Reporting Malpractice

- The person identifying possible malpractice e.g. the examiner or verifier, should report the incident immediately in writing to Dove Nest Group or the AO stating full details of the suspected malpractice inclusive of any supporting evidence.
- In the case of Dove Nest Group identifying the possible malpractice, it should be reported to the Director of Qualifications, who in turn will inform the AO in writing within two days of the identification. An internal investigation will be conducted by the Director of Qualifications. This may be conducted independent of an investigation should the AO opt to investigate the incident.

#### 6.3 Report received by AO into Alleged Malpractice by a Member of Staff / learner:

The AO can respond to the report of malpractice either by stating, (but is not limited to):

- No Further action is required
- Make a decision in accordance with AO regulations
- Ask Dove Nest Group to conduct an Investigation and report back to AO
- AO will complete an investigation
- Nominate a third party to complete an investigation and report back to AO
- Ask the Managing Director to conduct a full investigation and report back with a full written report
- Where alleged fraud or a serious breach of security is suspected, the AO will elect to complete the investigation

#### 6.4 Report received by the Training Provider into Alleged Malpractice by a Member of Staff / learner:

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- Investigations into any case of malpractice or irregularities against a member of staff will be carried out in the first instance by the Director of Qualifications and / or the Director of Apprenticeships. The Director of Qualifications must inform the AO immediately of the suspected malpractice.
- Investigations into alleged malpractice or irregularities against the management will be carried out by the Awarding Organisation.
- Any member of staff / learner accused of malpractice or irregularities must be made fully aware, in writing, at the earliest opportunity of the nature of the alleged malpractice. The possible consequences should malpractice be proven would be;
  - For members of staff to be processed through the Disciplinary Policy
  - For learner to have their qualification withheld, their training terminated, and their employer informed.
- Any member of staff / learner accused of malpractice or irregularities must have the opportunity to respond in writing to allegations made.
- Any member of staff / learner accused of malpractice or irregularities must be made aware of the avenues for appealing should a judgement go against them.
- When investigating serious cases of alleged staff / learner malpractice, it may be necessary for a member of the AO staff to be present at the interview with the member of staff / learner concerned.
- The member of staff / learner being interviewed may be accompanied by a friend, colleague or union representative.

### 6.5 Procedures for investigating alleged malpractice

All cases of malpractice are reported to the Director of Qualifications at Dove Nest Group who will inform the Director of Apprenticeships. The Director of Qualifications will conduct an investigation in accordance with this policy and produce a report (contents detailed below). The report will be produced detailing the findings of the investigation, the outcome and suggested actions which will be passed to the Director of Apprenticeships to act upon.

### 6.6 Reporting

Dove Nest Group will report the incident to the AO within two days of the incident occurring. The Director of Qualifications must respond and report speedily on all matters associated with the suspected malpractice and be compliant with any request made from the AO.

### 6.7 Contents of the Report

- A statement of facts including how the investigation was carried out.
- Written statements from all persons interviewed
- Where appropriate, learners work, assessment and internal verification records
- Where necessary, a copy of all remedial actions taken to maintain the integrity of certification
- Any mitigating facts which may have led to the malpractice
- Summary of outcomes
- Suggested actions

6.8 The individual(s) suspected of malpractice should be made fully aware at the earliest opportunity of the nature of the alleged malpractice, and of the possible consequences should malpractice be proven. A copy of the Dove Nest Group Malpractice and Maladministration Policy should be given to the individual(s) concerned. The individual(s) suspected of malpractice must be given the opportunity to respond in writing to the allegations made.

The individual(s) will be informed in writing of the outcome of the AO decision.

6.9 In accordance with the requirements of the Code of Practice and the Arrangements for the Statutory Regulation of External Qualifications in England, Wales and Northern Ireland, a report on cases where members of staff are found to have committed malpractice, together with details of the action taken by the management, the AO or the responsible employer must be forwarded to the regulatory authorities and may be made available to other AO's if the AO decides that the circumstances of the case are sufficiently serious to warrant such reports being made.

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## 7. Decision

7.1 Dove Nest Group will inform the outcome of any investigation to the AO. The AO will confirm a response.

### 7.2 Appeal – Member of Staff / learner Malpractice

A member of staff / learner accused of malpractice should be made aware of the avenues for appeal should a judgement be made against them. Full details of AO's appeals procedure will be sent to the learner if a proven judgement is made. Full details of Dove Nest Group's appeals procedure (through the Disciplinary and Appeals Policy) will be sent to the member of staff if a proven judgement is made.

### 7.3 Centre Malpractice

The Centre has 5 days to appeal against the judgement if they disagree with the decision made.

Should an employer, part or full time become aware of a suspected instance of malpractice or maladministration then the [Whistleblowing policy](#) should be followed and the instance should be reported at the earliest possible time.