



---

## Malpractice and Maladministration Policy

**Version 2 – January 2022**

# Malpractice and Maladministration Policy

Procedures for Centres for dealing with malpractice and maladministration on the part of Learners, Centre staff and any others involved in providing the qualification.

## Introduction

The IAT expects Centres to carry out their responsibilities in a professional manner with honesty and integrity. This policy is relevant to all members of Centre staff that have any involvement in delivering or assessing IAT qualifications and learners taking IAT qualifications. The policy describes the procedures to be followed in identifying and reporting malpractice by Centre staff and/or learners.

Centres should ensure that all members of staff involved in IAT qualifications are aware of this policy and that learners have been made aware of their responsibilities. The policy is available on the IAT website: [www.iat.org.uk](http://www.iat.org.uk)

## Definition

'Malpractice' means non-compliance with the regulations pertaining to the assessment process (including the conduct of examinations), which may adversely affect the integrity of a qualification, its assessment and the validity of learner certificates. For the purposes of this policy, the term 'malpractice' covers both maladministration and misconduct.

Malpractice by the Centre includes, but is not restricted to:

- Failing to comply with IAT Centre and qualification approval requirements
- Frequently cancelling Moderator visits, hindering the work of the Moderator
- Not informing the IAT of changes in Centre accreditation details
- Failing to maintain adequate and accurate records
- Not supplying the IAT, or regulatory authorities, with the data or Centre access they require to monitor Centre performance
- Unfairly influencing the assessment or certification process
- Improper assistance to the learner
- Inappropriate marking of learner work
- Fraudulent claims for certification.

Malpractice by the learner includes, but is not restricted to:

- Plagiarism, collusion
- Inappropriate use of electronic aids (for example, programmable calculators or using a mobile phone in an examination)
- Copying other learners' work
- Falsely signing an assessment as the learner's own work
- Falsely claiming exemption or accreditation of Prior Learning

- Providing inaccurate information to the Centre staff or IAT
- Failing to act on the instruction of Centre or IAT staff during an assessment or on matters of animal welfare or health and safety.

## Reporting Malpractice

Centre staff who discover or suspect malpractice should report their findings to their IAT Moderator at the earliest opportunity. The IAT will require a written report, which should include:

A description of the nature of the malpractice, how it was discovered, by whom and when and what action has been taken.

Should the External Verifiers or IAT Moderator discover or suspect malpractice during a visit to Centres, or when sampling learner assessments, they must report this to the Chair of the Board of Education.

The report should be submitted separately from the visit report and should include:

- The Centre name and number
- The full nature of the malpractice
- The Centre staff and/or learners involved
- Date(s) malpractice occurred
- The qualification affected.

## Investigating a Complaint

Following a complaint from the Centre regarding learner malpractice, the IAT Moderator will investigate the complaint with a Centre representative. Investigation must not presume guilt or innocence of learners or staff but should be carried out in an unbiased and thorough manner. If it is necessary to investigate members of staff, the Centre representative must be in a position of sufficient authority to carry out a disciplinary procedure (should it be required), and due attention to the appropriate Centre employment policy and procedures must be considered.

Following a complaint from the Moderator or External Verifier the IAT's Board of Education will appoint an Investigating Officer to investigate the complaint with the Centre head. The Investigating Officer must be independent of the Centre and complainant, and suitably experienced in the IAT's qualification rules and regulation. Investigation must not presume guilt or innocence of learners or staff but should be carried out in an unbiased and thorough manner. If it is necessary to investigate members of staff, the Centre representative must be in a position of sufficient authority to carry out a disciplinary procedure (should it be required), and due attention to the appropriate Centre employment policy and procedures must be considered.

All individuals involved in the suspected malpractice have a right to know the full details of the allegation(s), evidence to support the allegation(s) and the possible consequences. During the investigation, the learner(s) concerned will not be entitled to claim any IAT units or qualifications. Centre staff should make learners aware that their final results may be void if malpractice is proven and that certificates, which have already been issued, may be invalidated.

Once the investigation is completed the Moderator or Investigating Officer will submit a report detailing:

- Detailed account of the circumstances of the alleged malpractice and of the investigation carried out by the Centre
- Written statement(s) from the assessor(s), internal verifier(s) or other staff involved
- Written statement(s) from the learner(s) involved
- Any mitigating factors
- Information about the Centre's procedures for advising learners of IAT's regulations
- Any work of the learner(s) and any associated material which is relevant to the investigation.

At the end of the investigation the Board of Education will consider all factors highlighted in the investigation. If malpractice is established the IAT may apply one or more of the following sanctions.

### **Learners**

- Certificates will not be issued
- Learner will be disqualified from the assessment
- Disqualification from the whole qualification
- Barred from entering for IAT qualifications for a set period of time

### **Centre staff**

- Written warning on conduct
- Imposition of conditions on the individual's involvement in IAT assessments
- Training or mentoring
- Suspension of individual from involvement in IAT assessments

### **Centres**

- Written warning on conduct
- Additional external moderation or verification visits
- Restriction on assessment materials
- The deployment of independent invigilators
- Suspension of learner registrations
- Suspension of certification
- Withdrawal of approval for specific qualifications
- Withdrawal of Centre approval.

## Appeals

Any learner or Centre wishing to appeal a decision should follow the Enquires and Appeals Policy and Procedures, published on the IAT website [www.iat.org.uk](http://www.iat.org.uk).

## Adverse Effects

The IAT is responsible for taking reasonable steps to prevent malpractice or maladministration in the development, delivery and award of qualifications. Should malpractice or maladministration be suspected the IAT will investigate to establish if an event has occurred and where it has occurred take prompt action to prevent or limit any adverse effect. Where a Centre requests guidance on how to prevent, investigate or deal with an occurrence of malpractice or maladministration the IAT Moderators will support the Centre.

Where the IAT has cause to believe malpractice or maladministration has occurred in the development, delivery or award of a qualification they will take prompt action to prevent a reoccurrence of the event and where appropriate take effective and proportionate action against those responsible.

The IAT Moderator will be responsible for leading the investigation into any suspected occurrence of malpractice or maladministration at Centre level, and reporting their findings to the Chair of the Board of Education. The Board of Education will review the evidence and determine appropriate actions to take.

Where the occurrence of malpractice or maladministration is suspected by Awarding organisation officials or contractors the governing Council will appoint an independent investigation into the occurrence. The IAT Council will review the findings of the investigation and determine appropriate actions to take.

Where an occurrence of malpractice or maladministration has undermined the validity or reliability of the certification process the IAT will notify the Ofqual.

Initial notification will include details of:

- The qualifications, subjects and units affected
- The number of Centres and learners affected, with a country location breakdown
- (If possible) the nature and cause of the event
- The possible or actual impact of the event on learners, including any impact on the validity of grades or certificates
- How the awarding organisation became aware of the event
- Whether Centres, learners, media or other stakeholders are aware
- Any actions already taken or planned by the awarding organisation to identify causes and effects, and to mitigate any adverse effect.

Email to: [eventnotification@ofqual.gov.uk](mailto:eventnotification@ofqual.gov.uk).