



Malpractice and Maladministration Policy

Link to policy on website: [Our Policies - PFP Thrive](#)

Document History: to be reviewed on at least an **annual basis** or sooner if there are significant changes required.

Approval should be the Academy Director or a relevant member of the Academy Governing Board.

Approved by | Tom Arey

Position | PFP Thrive Academy Director

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Next Review Date | December 2025

Signed

Tom Arey

PFP Thrive Academy Director

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1.Introduction

PfP Thrive is committed to pursuing the highest standards of probity and the elimination of malpractice / maladministration in the management of our organisation and aims to promote accountability and a climate of openness, to encourage the disclosure of allegations of malpractice / maladministration. Staff, Learners, and individuals must report allegations to the Director of PfP Thrive.

It is ultimately the responsibility of the PfP Thrive Leadership Team, to ensure that this policy is published, accessible and fully understood by all Staff, Learners and any relevant third parties.

Information contained within this documentation applies to all Staff, Learners and individuals involved with PfP Thrive. Arrangements in place offer individuals a safe and accessible procedure for reporting allegations of malpractice in a confidential manner, on the basis that PfP Thrive will take appropriate steps to ensure that individuals reporting allegations of malpractice are not penalised and are protected and that individuals accused will be protected against false, malicious or anonymous accusations. PfP Thrive is keen to encourage Staff, learners and individuals to report allegations without fear, and will ensure that any disclosure is treated with the utmost confidentiality.

Anonymous allegations will only be considered if they are of a serious nature and the evidence is sufficient to warrant an investigation and for appropriate action to be taken. All allegations will be recorded and submitted to the awarding body for investigation.

2. Policy overview

This policy applies to internal and external summative assessments, assignments and examinations and their reporting.

It is the responsibility of all PfP Thrive staff to be vigilant regarding any events which may lead to malpractice/maladministration occurring, and report promptly to the Director of PfP Thrive where they suspect malpractice / maladministration has and /or may occur so that appropriate action can be taken to address this with immediate effect.

The Director of PfP Thrive is responsible for notifying relevant Awarding Organisations of cases of suspected / actual malpractice and maladministration to ensure that appropriate action may be taken.

In particular, PfP Thrive will aim to:

- Identify and minimise the risk of malpractice by staff or learners;
- Identify and minimise the risk of maladministration by staff;
- Respond to any incident promptly and objectively;
- Standardise and record any investigation to ensure openness and fairness;
- Impose appropriate penalties and/or sanctions on learners or staff where incidents (or attempted incidents) are proven;
- Protect the integrity of PfP Thrive, Awarding Organisations and Qualifications.

3. Malpractice

The term 'malpractice' covers any deliberate actions, neglect, default or other practice associated with the examples below; it 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.

Instances of malpractice that may be committed by Staff or Learners include:

- Committing plagiarism by copying and passing off the whole or part(s) of another person's work, with or without the originator's permission and without appropriately acknowledging the source.
- Failing to comply with the assessor's/invigilator's instructions and/or an Awarding Organisations regulation in relation to the assessment and security.
- Misusing assessment material.
- Impersonating other candidates 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.
- Fabricating and/or altering results and/or evidence, documents and/or certificates.
- Using unauthorised material in relation to the requirements of supervised assessment.
- Behaving in such a way as to undermine the integrity of the assessment.

Examples of Malpractice by Learners

This list is not exhaustive and other instances of malpractice may be considered by PFP Thrive at its discretion:

- Copying (including the use of ICT to aid copying) which includes plagiarising content from internet sites and using as own work, as well as the use of Artificial Intelligence platforms to copy work.
- 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 to produce the work for another or arranging for another to take one's place in an assessment/examination/test.
- Inappropriate behaviour during an internal assessment that causes disruption to others. This includes shouting and/or aggressive behaviour or language and having an unauthorised electronic device that causes a disturbance in the examination room.
- Inclusion of inappropriate, offensive, discriminatory, or obscene material in assessment evidence. This includes vulgarity and swearing that is outside of the context of the assessment, or any material of a discriminatory nature.
- Frivolous content - producing content that is unrelated to the examination paper/question in scripts or coursework.
- Unauthorised aids - physical possession of unauthorised materials (including mobile phones, MP3 players, notes, etc) in the examination room.

Staff and/or Learners who commit malpractice / maladministration and who fail to comply with the guidance on regulations for assessment could lead the Awarding Organisation to withhold the learner's results. Withholding information or failing to report promptly any suspected cases of malpractice / maladministration or non-compliance by centre Staff and/or learners may result in the imposition of sanctions/penalties on PfP Thrive, with a possible outcome being the suspension of certification/registration or even recognised centre status (including staff).

Learners are required to be aware of the penalties for/consequences of breaching regulations, which may include one or more of the following:

- Written warning.
- Disqualification from entering one or more (re)assessments.
- Disqualification from the whole qualification.

Learners must understand that if the allegations are proven, Certificates may be invalid and those already issued may be withdrawn.

Staff who commit malpractice, which is confirmed after investigation, may be subject to penalties, including:

- Exclusion from the delivery of the qualification.
- Exclusion from the assessment of the qualification.
- Exclusion from the internal verification/moderation of the qualification.
- Exclusion from the financial/quality management/administration of the qualification.
- Temporary suspension.
- Work only under supervision.
- Undertake specific training.
- The disciplinary procedure will be used.

Examples of Malpractice by Staff

- This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:
- Improper assistance to Learners;
- Inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the learner's achievement to justify the marks given or assessment decisions made;
- Failure to keep learner's coursework/portfolios of evidence secure;
- Fraudulent claims for 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 an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment;
 - Falsifying records/certificates, for example by alteration, substitution, or by fraud;
 - Fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment;
 - Failure to comply with awarding organisation procedures for managing and transferring accurate learner data.

3.1 Plagiarism and AI

Plagiarism is the act of using someone else's ideas, words, images, creative works, or intellectual property without giving appropriate credit or authorisation. It includes, but is not limited to:

- Copying and pasting content from a source (published or unpublished) without proper citation.
- Paraphrasing or rephrasing someone else's work without acknowledgment.
- Using images, graphics, or multimedia content without obtaining the necessary permissions or giving proper credit.
- Presenting another person's ideas or research findings as one's own
- Submitting work created by others as one's own, including essays, reports, code, designs, etc.
- Using unauthorised assistance or collaboration on individual assignments or projects where individual effort is expected.
- Self-plagiarism, which involves reusing one's own previously submitted work without appropriate citation or permission.
- Use of artificial intelligence (AI) or any automated tools in completing study assignments, projects, or assessments.

The PfP Thrive Academy Teaching Team will promote that any work their learners submit, or present, is entirely their own, or if using external sources, that proper credit is given to the original authors or creators.

To prevent plagiarism, PFP Thrive will take the following measures:

- Provide training and resources on proper citation and referencing practices.
- Encourage the use of plagiarism detection tools to review and verify originality.
- Establish clear expectations regarding individual effort and collaboration on projects and assignments.
- Implement regular checks and audits to identify and address potential cases of plagiarism.

This policy prohibits the use of artificial intelligence (AI) or any automated tools in completing study assignments, projects, or assessments. Learners are prohibited from using AI, machine learning algorithms, or any other automated tools to complete any work that contributes to their final grade including essays, reports, presentations, programming assignments, and problem-solving tasks. All submitted work must be the original creation of the learner.

There may be instances where limited use of AI can support the development of formative tasks that do not contribute to their final grade. However, learners must refer to the specific programme guidance to ensure compliance with the policy. Any exceptions or authorised use of AI will be clearly outlined in the assessment guidance specific to the programme.

The limited use of AI in formative tasks, where permitted, should be viewed as a means to enhance learning and critical thinking skills. It should not replace the learner's own intellectual engagement and original work.

Any use of AI tools must be clearly cited and acknowledged in the learner's work, following the programme's citation guidelines.

Learners are encouraged to consult with their Tutor if they have any questions about the appropriate use of AI tools in their specific programme or for particular assignments.

Plagiarism, including the use of AI-generated content without proper attribution, is a violation of academic integrity and will be subject to disciplinary actions.

The PFP Thrive Academy Teaching Team may use various methods and technologies to detect potential AI usage in study assignments including Plagiarism Detection Software. Additionally, they may conduct comparator reviews, oral assessments and knowledge assessments on a randomised basis meaning learners will not have scope to use AI/Plagiarise.

4. Maladministration

Maladministration is any non-deliberate activity, neglect, default or other practice that results in PfP Thrive or learner not complying with the specified requirements for delivery of the qualifications as set out in the relevant codes of practice, where applicable.

Examples include (this is not an exhaustive list):

- Failing to ensure that learner's coursework or work to be completed under controlled conditions is adequately monitored and supervised;
- Inappropriate members of staff assessing candidates for access arrangements who do not meet the criteria as detailed by regulations (where required);
- Failure to use current assignments for assessments;
- Failure to train invigilators adequately, leading to non-compliance with regulations;
- The introduction of unauthorised material into the examination room, either during or prior to the examination; (N.B this precludes the use of the examination room to coach learners or give subject-specific presentations, including power-point presentations, prior to the start of the examination/assessment).
- Granting access arrangements to learners which do not meet the requirements of the Reasonable Adjustments and Special Consideration policy;
- Failing to report an instance of suspected malpractice in examinations or assessments to the appropriate awarding organisation as soon as possible after such an instance occurs or is discovered;
- Failing to conduct a thorough investigation into suspected examination or assessment malpractice when asked to do so by an awarding organisation;
- The inappropriate retention or destruction of certificates.

5. Reporting malpractice

In order to make an allegation of malpractice, you are required to contact:

Tom Arey, Director of PfP Thrive

1 Centro Place

Pride Park

Derby

DE24 8RF

Tom.arey@placesforpeople.co.uk

The Director of PfP Thrive is required to report allegations of malpractice to the appropriate Awarding Organisation by completing the “Alleged Malpractice Report” and submit with any relevant evidence attached.

It is recognised that for any formal follow-up or investigation the Director of PfP Thrive will follow the specific guidance from the Awarding Organisation. However, the following principles will be the moral compass that PfP T will adhere to.

6. Allegations of malpractice

Externally identified allegations.

Malpractice may be identified by external parties or organisations such as external examiners, moderators, verifiers or quality assurers. If one of these parties suspects a case of malpractice, they must notify the relevant awarding organisation using their own procedures and documentation.

A full account of the incident must be submitted to the awarding organisation alongside objective evidence to support the allegation and an indication of which regulation or requirement has been broken. When an allegation is made to an awarding organisation, the Director of PfP Thrive should both be informed of this report.

PfP Thrive Academy identified allegations.

Where a staff member suspects that malpractice has occurred during an exam or controlled assessment, they should submit a full report to the Director of PfP Thrive, who will coordinate to report this to the awarding organisation. The report must include a full account of the incident, details of which regulation has been broken and any supporting evidence.

Malpractice committed by an apprentice/learner during the completion of an assignment, piece of coursework or other internal assessment will not be reported to the awarding organisation but will instead be dealt with in accordance with PfP Thrive internal procedures. The only exception to this is in cases of malpractice committed by an apprentice/learner in relation to an internal assessment where the work has already been entered into an external assessment where that work is due to be assessed. In this case, PfP Thrive will refer to the guidance available from the relevant awarding organisation before taking action.

Other Allegations and whistleblowing

Allegations of malpractice may also be reported to the Director of PfP Thrive by other parties such as employers, Academy centre staff, regulators, funding agencies, regulatory bodies, apprentices, learners, other awarding organisations or members of the public.

If requested by the allegor, the Director of PfP Thrive will not disclose the identity of individuals reporting cases of suspected malpractice unless they are legally obliged to do so. Once reported, the Director of PfP Thrive will investigate the report and assess if this needs reporting the awarding organisation.

Responsibility for the investigation

In accordance with regulatory requirements, all suspected cases of maladministration and malpractice will be examined promptly by PfP Thrive to establish if malpractice or maladministration has occurred and will take all reasonable steps to prevent any adverse effect from the occurrence as defined by Ofqual.

We will acknowledge receipt, as appropriate, to external parties within 48 hours.

The Director of PfP Thrive will be responsible for ensuring the investigation is carried out in a prompt and effective manner and in accordance with the guidelines and regulations set out by the awarding organisation. They will appoint a relevant member of staff to lead the investigation and establish whether or not the malpractice or maladministration has occurred, and review any supporting evidence received or gathered by PfP Thrive.

Where applicable, the Director of PfP Thrive will inform the appropriate regulatory authorities (including Awarding Organisations) for guidance before an investigation occurs.

Where the allegation may affect another awarding organisation and their provision, we will also inform them in accordance with the regulatory requirements and obligations imposed by the regulator Ofqual. If we do not know the details of organisations that might be affected, we will ask Ofqual to help us identify relevant parties that should be informed.

Investigation timelines and summary process

PfP Thrive aims to action and resolve all stages of the investigation within 10 working days of receipt of the allegation.

The fundamental principle of all investigations is to conduct them in a fair, reasonable and legal manner, ensuring that all relevant evidence is considered without bias. In doing so investigations will be based around the following broad objectives:

- To establish the facts relating to allegations/complaints in order to determine whether any irregularities have occurred.
- To identify the cause of the irregularities and those involved.
- To establish the scale of the irregularities.
- To evaluate any action already taken
- To determine whether remedial action is required to reduce the risk to current registered learners and to preserve the integrity of PfP Thrive and the qualification.
- To identify any adverse patterns or trends.

The investigation may involve a request for further information from relevant parties and/or interviews with personnel involved in the investigation. Therefore, we will:

- Ensure all material collected as part of an investigation must be kept secure.
- If an investigation leads to invalidation of certificates, or criminal or civil prosecution, all records and original documentation relating to the case will be retained until the case and any appeals have been heard and for five years thereafter.
- Expect all parties, who are either directly or indirectly involved in the investigation, to fully co-operate with us.

Either at notification of a suspected or actual case of malpractice or maladministration and/or at any time during the investigation, we reserve the right to withhold an apprentice's/learner's/cohort's, results.

Where a member of PfP Thrive staff is under investigation, we may suspend them or move them to other duties until the investigation is complete.

Throughout the investigation our Director of PfP Thrive will be responsible for overseeing the work of the investigation team to ensure that due process is being followed, appropriate evidence has been gathered and reviewed and for liaising with and keeping informed relevant external parties.

Investigation report

After an investigation, we will produce a draft report for the parties concerned to check the factual accuracy. Any subsequent amendments will be agreed between the parties concerned and PfP Thrive. The report will:

- Identify where the breach, if any, occurred.
- Confirm the facts of the case.
- Identify who is responsible for the breach (if any)
- Confirm an appropriate level of remedial action to be applied.

PfP Thrive will make the final report available to the parties concerned and to the regulatory authorities and other external agencies as required.

If it was an independent/third party that notified us of the suspected or actual case of malpractice, PfP Thrive will also inform them of the outcome, normally within 10 working days of making our decision.

PfP Thrive may need to withhold some details if that information would breach a duty of confidentiality or any other legal duty. If it is an internal investigation against a member of staff, the report will be agreed by the Director of PfP Thrive, along with the relevant line managers and appropriate internal disciplinary procedures will be implemented.

Investigation outcomes

If the investigation confirms that malpractice or maladministration has taken place, we will consider what action to take in order to:

- Minimise the risk to the integrity of apprenticeships/learners and certification now and in the future.
- Maintain public confidence in the delivery and awarding of apprenticeships and qualifications.
- Discourage others from carrying out similar instances of malpractice or maladministration.
- Ensure there has been no gain from compromising our standards.

The action we take may include:

- Imposing actions in order to address the instance of malpractice/maladministration and to prevent it from reoccurring
- In cases where certificates are deemed to be invalid, inform the Awarding Organisation concerned and the regulatory authorities why they are invalid and any action to be taken for reassessment/withdrawal of the certificates. PfP Thrive will also let the affected apprentices/learners know the action we are taking and that their original certificates are invalid. Where possible, apprentices/learners will be required to return the invalid certificates to PfP Thrive
- Informing relevant third parties (e.g., funding bodies) of our findings in case they need to take relevant action in relation to PfP Thrive In addition, to the above the Director of PfP Thrive will record and share any lessons learnt from the investigation to help prevent the same instance of maladministration or malpractice from reoccurring. If the relevant party(ies) wishes to appeal against our decision to impose sanctions, they can do so by following PfP Thrive Appeals Process

7. Policy review and version control

This Policy will be reviewed annually or in the event of changes in rules or to take into account changes in working practices that may result from incidents.

Date of Publishing | December 2024

Review Date | December 2025

Policy/Process Owner | Apprenticeship Leadership Team

Signed

Tom Arey

Director of PFP Thrive

23/12/2024

A handwritten signature in black ink, appearing to read 'Tom Arey', followed by a long horizontal line.

Version Control

Version	Date	Action	Amended by	Reviewed by
V1.0	September 2024	New policy creation	Rebecca Edwards Academy Consultant	Tom Arey PFP Thrive Director
V1.1	October 2024	Updated job titles	Rebecca Edwards Academy Consultant	Tom Arey PFP Thrive Director
V1.2	December 2024	Updated following feedback from MS Consulting	Rebecca Edwards Academy Consultant	Tom Arey PFP Thrive Director
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