



UK Certification Policies

**Qualifications &
Certification for the
Building Services Industry**

Malpractice Policy



Introduction & Purpose of this Policy

This policy relates to suspected or actual malpractice and maladministration on the part of Learners/Candidates, Approved Centre personnel and UK Certification personnel involved in development or activity. Or anyone involved in the delivery of UK Certification approved training, assessment or qualifications.

The policy provides definitions and the process by which a suspected or alleged case of malpractice or maladministration can be reported. It also describes the responsibilities that UK Certification will adopt to manage any such case, thus ensuring that all malpractice and maladministration investigations are conducted in a fair and consistent manner.

Definitions

Malpractice

Malpractice is any activity or practice which deliberately contravenes regulations and compromises the integrity of qualifications. Malpractice covers any deliberate actions, neglect, default or other practice that compromises, or could compromise the:

- Examination and Assessment process
- Integrity of a Training Programme, Assessment or Qualification
- Validity of an examination result or subsequent certificate issue
- UK Certifications credibility and reputation

Malpractice may include a range of issues, from the failure to follow correct assessment procedures to the deliberate falsification of records, in order to claim certificates.

Maladministration

Maladministration is essentially any activity or practice which results in non-compliance with administrative regulations and requirements and includes mistakes being made and poor administration within an Approved Centre.

How to report Malpractice & Maladministration

Anyone who identifies or becomes aware of suspected or actual cases of malpractice or maladministration, must immediately notify UK Certification and must include (if possible):

- Approved Centres trading name and details
- Learners/Candidates name (if appropriate)
- Details of the Training Programme, Assessment or Qualification which might be affected
- Nature of the suspected or actual malpractice/maladministration
- Any other relevant details including other Learners/Candidates involved, or potential mitigating circumstances

Confidentiality & Whistleblowing

When making an allegation of malpractice or maladministration, it is always preferable to reveal your identity and contact details to us.

However, if you wish to remain anonymous or are concerned about possible adverse consequences, you may request us not to divulge your identity.

At all times we will investigate such allegations in accordance with our current Whistleblowing and Confidentiality Policies.

UK Certification Responsibilities

In accordance with regulatory requirements, UK Certification will investigate all suspected cases of maladministration or malpractice to establish if either has occurred.

We will take all reasonable steps to prevent any adverse effect from occurring.

Note - An Adverse Effect is any act, omission, event, incident or circumstance that:

- Prejudices Learners/Candidates
- Affects public confidence in our Training Programmes, Assessments or Qualifications
- Affects the standards of products which UK Certification makes available
- Affects the ability of UK Certification to undertake the development, delivery or award of the Training Programmes, Assessments or Qualifications

UK Certification will appoint a Senior staff member to lead the investigation and they will be responsible for making sure the investigation is carried out efficiently, effectively and to establish if malpractice or maladministration has occurred. They will review all associated evidence.

At all times we will make sure any UK Certification personnel assigned to the investigation have:

- The appropriate level of training & competence
- No previous involvement or personal interest in the matter

Investigation & Reporting

During the investigation, UK Certification will consider whether malpractice or maladministration has taken place and:

- Use the facts relating to the allegations, in order to determine whether irregularities have occurred
- Identification of the cause of the irregularities and those involved
- Establish the scale of the irregularities
- Evaluate any action already taken by the Approved Centre
- Determine the level of remedial action required to reduce the risk to current Learners/Candidates
- Ascertain whether any action is required in respect of certificates already issued

An investigation report will be produced for the parties concerned to check the factual accuracy. The report will be made available to external agencies as required.

Outcomes

Following an investigation outcome, UK Certification will consider one or all of the following:

- Minimising the risk to the integrity of certification now and in the future
- Maintaining public confidence in the Training Programmes, Assessments or Qualifications
- Discourage others from carrying out similar instances of malpractice or maladministration
- Ensure there has been no gain from compromising our standards

UK Certification reserves the right to:

- Charge the Approved Centre for any cases of malpractice/maladministration
- In the event that UK Certification has to carry out any Training Programmes, Assessments or Qualifications to Learners/Candidates as a result of malpractice/maladministration, the Approved Centre shall be liable for the costs incurred
- Carry out additional external quality assurance visits as a result of malpractice/maladministration

We will discuss and agree this with you in advance of any charges being made.

Timescales

UK Certification will acknowledge all allegations within 2 working days of receipt of the information.

We aim to action resolve and conclude all stages of the investigation within 20 working days of receipt of the information.

We will communicate our findings and outcome in writing within a further 10 working days of the conclusion of the investigation.

In some cases the investigation may take longer and we will advise all parties concerned of the likely revised timescale. Once 20 working days have passed from the receipt of the allegation we will:

- Update the relevant parties on progress and provide an indication of when the investigation may be completed

or

- Issue a summary of the completed investigation to the relevant parties

Appeals against UK Certification Outcomes

If you wish to appeal against our decision to take action as recommended in the investigation report, please refer to UK Certification Appeals Policy.

Privacy Policy

During a malpractice or maladministration investigation, it will be necessary for us to collect and hold personal information. This will be held securely and used to help us investigate concerns. For more information please access our UK Certification Privacy Policy.

Review Arrangements

We will continually improve our Malpractice or Maladministration Policy through reviews of our activities and revise it in line with any feedback from customers, regulatory authorities or external agencies.

As a minimum, our Compliance Team will review this policy annually to ensure it continues to meet the needs of our customers and the Regulators.

If you have any queries about this policy, please send an email to info@ukcertification.co.uk



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