

1.0 Policy

To deliver its strategic policy aims of excellence in: Quality of Practice, the Apprentice Experience, Stakeholder Relationships, Innovation and Cost Management, Advance Assessments has a policy of complying with the UK Quality Code for Higher Education and the Ofqual General Conditions for Recognition (referred to as 'Ofqual conditions' in this document).

This policy refers to both malpractice and maladministration, according to the definitions given in item 1.1 below, the actions in this policy will also apply to any event that is identified as potentially having an Adverse Effect on any Learner. Centres are defined as organisations that undertake the delivery of a qualification or assessment to Learners on behalf of Advance Assessments. Please note that apprenticeship End Point Assessments may be delivered by Advance Assessments only. Learners are defined as persons registered to take a qualification and to be assessed as part of that qualification. In particular this policy and procedure is informed by the Ofqual conditions for Governance:

A8: Malpractice and maladministration

Advance Assessments Policy Aims:

1. To take steps to prevent the occurrence of any malpractice or maladministration in the development, delivery and award of qualifications which Advance Assessments makes available or proposes to make available, in compliance with Ofqual condition A8.1.
2. Where malpractice or maladministration is suspected or alleged, to determine, so far as possible, whether the malpractice or maladministration has occurred and report on it, in compliance with Ofqual condition A8.2 (a).
3. To promptly take all reasonable steps to prevent any Adverse Effect that may result from a reported incident of malpractice or maladministration and, where an Adverse Effect has occurred, correct and mitigate it and, as far as is possible, mitigate against further occurrences, in compliance with Ofqual conditions 8.2 (b) and A6.1.
4. To operate and comply with a written procedure for investigation, recording and reporting of all instances of malpractice or maladministration that ensures rigour, effectiveness, and fairness, in compliance with Ofqual conditions A8.3(a).
5. To ensure that investigations into malpractice or maladministration are conducted by persons of appropriate competence, in compliance with Ofqual condition A8.3 (b)
6. To ensure independence in all investigations of malpractice or maladministration and mitigate against any conflict of interest by having an Independent Governor investigate incidents where there is a conflict of interest or potential perceived conflict of interest relating to any director or manager working with Advance Assessments, in compliance with Ofqual condition, in compliance with Ofqual conditions 8.3 (b) and A4.
7. Where Advance Assessments works with Centres in any part of the delivery of a qualification, to work with that Centre to ensure that the Centre has in place suitable arrangements for preventing and investigating malpractice and maladministration by monitoring activity, in compliance with Ofqual condition 8.4
8. To respond to requests from Centres and provide guidance to any Centre as to how best to prevent, investigate and deal with malpractice and maladministration, in compliance with Ofqual condition A8.5.

9. To ensure that there are regular reviews of recorded maladministration and malpractice incidents to ensure that lessons are learned and mitigating actions are put in place to limit the risk of future incidents, in compliance with Ofqual condition A8.6 (a)
10. To take actions against and/or impose sanctions on Learners, Centres or Advance Assessments staff proportionate with the gravity and scope of occurrences or seek the cooperation of a third party in taking such actions, in compliance with Ofqual condition A8.6 (b).
11. To promptly inform any Centre undertaking any part of the delivery of a qualification that is made available by Advance Assessments of any occurrence of maladministration or malpractice that may affect that Centre, in compliance with Ofqual condition A8.7 (a).
12. To promptly inform any other awarding organisation or regulatory body (including Ofqual) that may be affected by any occurrences of malpractice or maladministration believed to have taken place of those occurrences, in compliance with Ofqual condition A8.7 (b).
13. To protect the integrity of Ofqual regulated qualifications and Advance Assessments.

1.1 Definitions of malpractice and maladministration

Maladministration is any activity which results in non-compliance with administrative regulations and requirements or causes actual or potential Adverse Effects for any Learner. This includes mistakes or poor process, including those caused by carelessness, inexperience, incompetence or ineptitude.

Malpractice is any wilfully negligent or deliberate act which could compromise the integrity of an assessment or qualification or cause actual or potential Adverse Effects for any Learner. Bias or discrimination could lead to malpractice, as could any attempt to knowingly engage in maladministration.

1.2 Definition of Adverse Effects

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

- (a) gives rise to prejudice to Learners or potential Learners, or
- (b) adversely affects –
 - (i) the ability of the awarding organisation to undertake the development, delivery or award of qualifications in a way that complies with its Conditions of Recognition,
 - (ii) the standards of qualifications which the awarding organisation makes available or proposes to make available, or
 - (iii) public confidence in qualifications.

1.3 Examples of potential maladministration by Advance Assessments or Centre staff:

This list is not exhaustive and other instances of maladministration may be considered by Advance Assessments at its discretion:

- 1.3.1 Failure to register Learners correctly
- 1.3.2 Avoidable delay
- 1.3.3 Mistakes in documentation or assessments
- 1.3.4 Using faulty procedures
- 1.3.5 Failure to follow correct procedures
- 1.3.6 Inadvertent failure to take action

- 1.3.7 Poor communication including providing misleading or inadequate information
- 1.3.8 Failing to keep Learner coursework/evidence portfolios/recording of face-to-face events secure
- 1.3.9 Breaking confidentiality of assessment materials, see AA policy and procedure AA_OP_22 - Confidentiality
- 1.3.10 A breach of confidentiality arrangements, see Advance Assessments policy and procedure AA_OP_22 – Confidentiality

1.4 Examples of malpractice by Advance Assessments or Centre staff:

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

- 1.4.1 Providing improper assistance to Learners
- 1.4.2 Inventing or changing marks for assessed work (examinations or portfolio evidence) where there is insufficient evidence of the Learners' achievement to justify the marks given or assessment decisions made
- 1.4.3 Fraudulent claims for certificates
- 1.4.4 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 Advance Assessments or Centre staff producing work for the Learner
- 1.4.5 Producing falsified witness statements, for example for evidence the Learner has not generated
- 1.4.6 Allowing evidence, which is known by the staff member or Centre not to be the Learner's own, to be included in a Learner's submission/portfolio
- 1.4.7 Facilitating or allowing impersonation
- 1.4.8 Misusing the conditions for special learner requirements, for example where Learners are permitted support, such as an amanuensis (an assistant writing from dictation), this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- 1.4.9 Falsifying records/certificates, for example by alteration, substitution, or by fraud

1.5 Examples of malpractice by Learners, including apprentices:

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

- 1.5.1 Plagiarism. Plagiarism is defined in this policy and procedure as using, without acknowledgement, another person's ideas or work
- 1.5.2 Impersonation
- 1.5.3 Falsifying records or certificates
- 1.5.4 Making false claims regarding reasonable adjustments or special considerations
- 1.5.5 Breaching the rules of assessment, for example, taking impermissible materials into an assessment.

1.6 In order to deliver our policy aims, Advance Assessments (AA) will:

- 1.6.1 Seek to avoid potential malpractice and maladministration by AA staff, Centres that AA works with, and Learners by:
 - 1.6.1.1 Maintaining this procedure in order that AA staff and Centres understand what to do in the event of concerns about malpractice or maladministration
 - 1.6.1.2 Using written procedures to ensure that all staff and contractors within AA and Centres are familiar with the requirements and processes of AA
 - 1.6.1.3 Having all policies, procedures and protocols available to AA and Centre staff, contractors and learners, through our online assessment platform
 - 1.6.1.4 Conducting an investigation in a form commensurate with the scope and gravity of any malpractice or maladministration allegation. Such an investigation will be supported by the Assessment Manager and be conducted according to a written procedure
 - 1.6.1.5 Requiring all personnel linked to an allegation of malpractice or maladministration to support its investigation
 - 1.6.1.6 Taking action to impose sanctions or other actions on those parties found, through investigation, to be involved in actions of malpractice or maladministration
 - 1.6.1.7 Reporting instances of malpractice or maladministration to the relevant regulatory bodies and other Centres that may be subject to Adverse Effects caused by the occurrence of malpractice or maladministration
 - 1.6.1.8 Regularly and cyclically reviewing occurrences of malpractice and maladministration through meetings described in the Qualification and Assessment Review procedure (AA_OP_07) and the General Practice Review procedure (AA_OP_20)
- 1.6.2 Seek to avoid potential malpractice by Learners and others through:
 - 1.6.2.1 Informing Learners, through the online system, of Advance Assessments' policy on malpractice. This includes information on how to report malpractice to the regulating body.
 - 1.6.2.2 Requiring that Learners declare that their work is their own
 - 1.6.2.3 Requiring Learners to provide evidence that they have acknowledged any sources used

1.6.3 Require all incidents or reports of malpractice to be investigated and reported on independently, this means that where the Assessment Manager or a director of Advance Assessments is involved in an alleged incident, appointing an Independent Governor to investigate and report

1.6.4 Require the Advance Assessments Independent Governance and Advisory Committee to review all reports of incidents and investigations of malpractice or maladministration at its next meeting and propose further actions, where appropriate.

1.7 Readers are guided to the documents: Ofqual's whistleblowing policy and Ofqual Guidance: Reporting malpractice and maladministration allegations (items 3.6 and 3.7).

1.8 Actions that may be taken in the event malpractice or maladministration is identified, following investigation, within Advance Assessments staff or contractors:

- 1.8.1 Staff or contracted assessors suspected of malpractice or maladministration will be suspended from duty, and have access to the online system suspended, pending results of the investigation identified in items 1.3 and 1.4
- 1.8.2 Staff found to be knowingly involved in malpractice or maladministration will be disciplined and considered as being involved in misconduct or gross misconduct and may have their employment terminated
- 1.8.3 Contracted assessors found to be knowingly involved in malpractice or maladministration will have their contracts terminated and will not be re-employed
- 1.8.4 Where malpractice or maladministration is identified through an investigation, a General Practice Review Meeting will be held, in accordance with policy and procedure AA_OP_20. The meeting will have the objective of identifying areas of malpractice or maladministration and determining actions to mitigate against further malpractice or maladministration that may result from the findings of the investigation

1.9 Actions that may be taken in the event malpractice or maladministration is identified, following investigation, within Centres:

- 1.9.1 Centres may have access to the Advance Assessments online platform suspended, pending results investigation
- 1.9.2 Centres may have permission to register and/or assess Learners on some, or all, Advance Assessments qualifications or assessments withdrawn
- 1.9.3 Additional visits may be made to provide Centres with a greater level of support and/or more detailed monitoring
- 1.9.4 Specific Centre staff may be required to undergo additional training and or scrutiny of work within the Centre
- 1.9.5 Specific Centre staff may not be permitted to be involved in the delivery or assessment of Advance Assessments qualifications

- 1.9.6 Changing the way in which a Centre receives assessment materials or examinations from Advance Assessments
- 1.9.7 Independent invigilators may be appointed by Advance Assessments to monitor examinations
- 1.9.8 Imposing other sanctions on a Centre, commensurate with the gravity and scope of the malpractice or maladministration identified
- 1.9.9 Reporting malpractice or maladministration incidents to the appropriate regulatory bodies
- 1.9.10 Invalidating certificates issued
- 1.9.11 In cases where Advance Assessments has determined that malpractice or maladministration has taken place within the jurisdiction of a Centre, Advance Assessments will charge the Centre for any resits of assessment activities and the reissuing of certificates. Charges will also be made for any additional quality assurance activities including monitoring visits and additional invigilation.

1.10 Actions that may be taken in the event malpractice is identified, following investigation, by a Learner:

- 1.10.1 Suspension from the Advance Assessments online assessment platform, pending results of the investigation identified in item 1.1.5
- 1.10.2 A written warning that if the offence is repeated further action may be taken
- 1.10.3 Loss of all marks/credits for the related work/unit
- 1.10.4 Disqualification from the related unit(s)/qualification
- 1.10.5 A ban, for a specified time period, on taking any further assessments/qualifications with/from Advance Assessments.

2.0 Procedure

2.1 Responsibilities and oversight

- 2.1.1 The Advance Assessments Independent Governance and Advisory Committee is responsible for oversight of this procedure.
- 2.1.2 The Assessment Manager will be responsible for maintaining information regarding potential malpractice or maladministration that is supplied online to each Learner using the Advance Assessments online platform, in order that the information is appropriate and current.
- 2.1.3 The Assessment Manager or, where appropriate an Independent Governor (see item 2.1.4), is responsible for managing and, where necessary, investigating all reported or otherwise identified instances of malpractice or maladministration.
- 2.1.4 Where a conflict of interest or perceived conflict of interest is identified in a malpractice or maladministration incident relating to the Assessment Manager or a director of Advance Assessments (see item 2.1.3), responsibility for managing, investigating and reporting on instances of alleged malpractice or maladministration will be passed to a suitably qualified Independent Governor.

- 2.1.5 The person responsible for investigating and reporting on instances of malpractice or maladministration is referred to in this procedure as the **Investigating Officer**.
- 2.1.6 The Investigating Officer will have the necessary knowledge and skills, demonstrated by meeting the requirements of the Advance Assessments Person Specification for an Independent Reviewer.

2.2 Reporting malpractice or maladministration

- 2.2.1 Anybody that identifies, or is made aware of, suspected or actual cases of malpractice or maladministration within Advance Assessments activities must immediately notify Advance Assessments. Initial contact should be through: support@advanceassessments.co.uk **This includes intelligence from other Awarding Organisations** In the first report, please provide your contact email address only. **Advance Assessments will respond with details of how to make your allegations securely, including providing access to a private and secure online area to submit your allegation.**
- 2.2.2 All reports or allegations should include (where possible):
 - 2.2.2.1 The names of all Centres involved, address(es) and telephone number(s)
 - 2.2.2.2 The name(s) and email(s) of all Learners involved
 - 2.2.2.3 The names and, where appropriate, job title(s) of all personnel from a Centre or AA that may be involved
 - 2.2.2.4 Details of any assessment, qualification or service that may be affected
 - 2.2.2.5 The nature of the suspected or actual malpractice or maladministration event(s) and the associated dates
 - 2.2.2.6 Details and outcome of any initial investigation carried out by a Centre or any other persons involved in the case, including mitigating circumstances
- 2.2.3 Advance Assessments requests that any personal interest that the person reporting the incident may have is declared in any allegation or report made.
- 2.2.4 All evidence files, including the initial report described in item 2.2.2 must be stored in the dedicated and private area provided on the Advance Assessments secure online platform. This area is available to the Assessment Manager and directors of Advance Assessments only and can store text, image, audio and video files. All files must be retained for a period of ten years after a decision on action following reported malpractice or maladministration is made and are subject to

storage that is compliant with the General Data Protection Regulations.

2.3 Providing malpractice information to Learners

- 2.3.1 Information is included within the details of each assessment or qualification on the Advance Assessments platform, in which potential acts of learner malpractice are identified.

2.4 Investigation of malpractice or maladministration

The investigation will proceed through the following stages:

- 2.4.1 Make all person(s) identified in the report of alleged malpractice or maladministration fully aware, at the earliest opportunity, of the nature of the allegations and of the possible consequences should allegations be proven, taking care to operate within the General Data Protection Regulations
- 2.4.2 Give the person(s) identified in the allegation the opportunity to respond to the allegations made and provide their own evidence relating to the incident
- 2.4.3 Inform the person(s) identified in the allegation of the avenues for appealing against any judgment made, using the Advance Assessments appeal process: AA_OP_03
- 2.4.4 Other parties that may be affected by the reported incidents will be determined by the Investigating Officer and notified of any issues that may affect them, taking care to operate within the General Data Protection Regulations. The Investigating Officer may re-visit this step of the process as he/she determines is appropriate
- 2.4.5 Document all stages of any investigation and store records of those stages in the dedicated area available for each investigation on the Advance Assessments online platform
- 2.4.6 The investigation should determine:
 - 2.4.6.1 The nature of the potential malpractice or maladministration
 - 2.4.6.2 The number of Learners involved
 - 2.4.6.3 The degree of potential advantage or disadvantage caused the malpractice or maladministration incident and all learners impacted
 - 2.4.6.4 The scope and degree of the Adverse Effects that may have arisen and may arise from any malpractice or maladministration incident

2.4.6.5 The scope and degree to which Adverse Effects may affect other Learners or Centres not directly involved in the reported incident

2.4.6.6 The scope and degree to which AA staff, Centre staff, Learners and others may be involved in the incident being investigated

2.4.6.7 The potential impact of the incident on public confidence in the qualifications, assessments and Centres involved

2.4.6.8 The potential impact of the incident on public confidence in Advance Assessments

2.4.7 The Investigating Officer will conduct interviews as required to verify claims made and determine the extent and degree of potential malpractice and maladministration. Interviews will be recorded and stored in compliance with the General Data Protection Regulations.

2.5 Investigation visits to Centres

2.5.1 The Investigating Officer may arrange visits to Centres to determine facts relating to an investigation

2.5.2 Centres must allow access to their relevant records which may be physical or online

2.6 Behaviour toward whistle-blowers and those making allegations about malpractice and maladministration

2.6.1 Where the person reporting malpractice or maladministration wishes to remain anonymous, employees and contractors of Advance Assessments will respect that wish, in so far as it is possible. Note that it may not be possible for Advance Assessments employees and contractors to maintain anonymity when otherwise directed by law enforcement agencies, a law court or qualification regulators such as Ofqual.

2.6.2 Where allegations reported may lead to the person making the allegation becoming identifiable, for example in a subsequent investigation, Advance Assessments will take all reasonable steps to avoid identification but can accept no liability for the subsequent identification of the person making the allegation.

2.6.3 Advance Assessments has a duty to investigate all allegations that it receives fairly and according to this procedure. Should an allegation or report be withdrawn, Advance Assessments is obligated to complete a full investigation of the matter, despite the withdrawal.

2.7 Report from Investigating Officer

2.7.1 The report will include:

2.7.2 A description of the incidents of malpractice or maladministration investigated

- 2.7.3 A description of any additional incidents of malpractice or maladministration discovered
- 2.7.4 Descriptions should include date ranges of incidents, all qualifications that may be affected by the alleged malpractice or maladministration, and identification of all Learners that may be affected by the alleged malpractice or maladministration. Reports should include the affected qualification(s) in their filename (or indicate as AA-wide). Malpractice and maladministration reports will then be further reviewed/actioned in the relevant Qualification and Assessment Review, Improvement and Standardisation meeting (AA_OP_07 refers).
- 2.7.5 A statement on the likelihood that the alleged or reported incidents took place
- 2.7.6 The scope and gravity of all incidents of malpractice or maladministration discovered; to include number of Learners, Centres or other parties involved
- 2.7.7 Descriptions of any Adverse Effects arising from the incidents included in the report with an evaluation of both their scope and potential for recurrence
- 2.7.8 Descriptions of any potential Adverse Effects arising from the incidents detailed in the report, with an evaluation of both their potential recurrence and scope
- 2.7.9 Recommendations for corrective actions, immediate and longer term
- 2.7.10 Recommendations for any sanctions to be applied to any party involved in any act of malpractice or maladministration that is believed to have taken place
- 2.7.11 Identification of third parties that should be informed of both incidents that are believed to have taken place and incidents that had potential to produce Adverse Effects
- 2.7.12 The completed report should be uploaded to the dedicated storage area on the Advance Assessments online assessment platform
- 2.7.13 The Assessment Manager is responsible for ensuring all Investigation Reports are stored in the dedicated area for the incident on the Advance Assessments online assessment platform
- 2.7.14 Where an investigation may take place over an extended time-scale, the Investigating Officer may issue an interim report that advises of immediate precautionary steps to reduce the potential for Adverse Effects.

2.8 Informing others of malpractice or maladministration

- 2.8.1 Where the Investigating Officer believes that there has been any malpractice, maladministration, or an event that has an Adverse Effect or potential Adverse Effect on Learners involving an Ofqual, or other

regulatory body, regulated qualification, this must be stated in the Investigation Report.

- 2.8.2 To ensure that Investigation Reports that identify incidents identified as relating to Ofqual, or other regulatory body, are made available, the Assessment Manager is responsible for contacting and providing details to Ofqual, or other regulatory body, according to the current applicable procedure, see items, with links in section 3.0.
- 2.8.3 Where the Investigating Officer believes that there has been any malpractice, maladministration, or an event that has an Adverse Effect or potential Adverse Effect on Learners, involving another Centre or Centres, this must be stated in the Investigation Report.
- 2.8.4 The Assessment Manager is responsible for contacting other Centres identified in the Investigation Report to inform them of any Adverse Effects or potential Adverse Effects.
- 2.8.5 The Investigating Officer will determine if other regulated Awarding Organisations regulated in the UK to award qualifications of a similar level or content could be impacted by an instance of malpractice or maladministration by checking on the Ofqual register of approved qualifications. Search terms used by the Investigating Officer when making this check, should be listed in the report.
- 2.8.6 The Assessment Manager is responsible for informing other Awarding Organisations, identified in the report by the Investigating Officer, of every instance of malpractice or maladministration.

2.9 Investigation decisions and outcomes

- 2.9.1 The report from the Investigating Officer will be reviewed by the Board of Directors, with whom the final decisions regarding actions and sanctions rests. Where the investigation involves a member of the Board of Directors, that member may not be involved in the decision-making process.
- 2.9.2 Where an incident involves all members of the Board of Directors, an Independent Governor will make the final decision.
- 2.9.3 The Board of Directors will inform the individual(s) and/or centre(s) of decisions and actions or sanctions that may impact on them.
- 2.9.4 When informing individual(s) and/or centres of decisions and actions or sanctions, the Board of Directors must advise those parties of the provision of an appeals process by Advance Assessments.
- 2.9.5 Where the malpractice or maladministration has had an Adverse Effect, The Board of Directors must review and revise policies, procedures and Advance Assessments' approach to its practice to avoid future Adverse Effects. The Qualification and Assessment Review and Improvement and Standardisation Policy and Procedure (AA_OP_07) includes a review of any reported instances of malpractice or maladministration in its standing agenda. The General Practice Review Policy and Procedure (AA_OP_20) includes a

company-wide review of reported instances of malpractice or maladministration in its standing agenda. These procedures ensure that there are cyclical processes in place to identify and mitigate against risks of Adverse Effects and put in place contingencies where necessary.

2.10 Appealing malpractice and maladministration investigation decisions and actions determined

2.10.1 Malpractice and maladministration decisions and actions may be appealed, following the Advance Assessments Appeals procedure AA_OP_03.

2.11 Requests from Centres

2.11.1 Where Advance Assessments works with a Centre and that Centre requests guidance on how best to prevent, investigate and manage malpractice or maladministration, Advance Assessments will provide that guidance.

2.11.2 In instances where the Assessment Manager judges that assistance is needed by a Centre to comply with the Ofqual requirement to prevent the occurrence of any malpractice or maladministration relating to Advance Assessments qualifications or assessments, Advance Assessments may intervene to ensure that all reasonable steps are taken to prevent malpractice or maladministration.

2.12 Review of incidents and mitigation against future risks:

2.12.1 All incidents reported are reviewed on a cyclical basis within two other procedures; the Qualification and Assessment Review, Improvement and Standardisation Policy and Procedure (AA_OP_07) and the General Practice Review Meeting (AA_OP_20). In each case a review of malpractice and maladministration reports is included in the review meeting agenda within the procedure. The meetings have responsibility for determining improvements and changes that should be made to minimise the risk of future malpractice or maladministration and advising the Assessment Manager of changes required to policies, procedures, operating processes or information supplied on the Advance Assessments online assessment platform.

2.13 Where the review process determines that an incorrect result has been issued, procedure AA_OP_24 – Incorrect Result Discovery will be followed.

3.0 Reference documents – links

3.1 AA_OP_03 Advance Assessments Appeals Policy and Procedure

3.2 AA_OF_06 – Conflict of interest declaration form.

3.3 AA_OP_07 Qualification and Assessment Review, Improvement and Standardisation Policy and Procedure

3.4 AA_OP_20 Advance Assessments General Practice Review Meetings Policy and Procedure

3.5 22 AA_OP_22 Advance Assessments Confidentiality Policy and Procedure

3.6 Ofqual Guidance: Reporting malpractice allegations: [Reporting malpractice allegations \(publishing.service.gov.uk\)](https://www.publishing.service.gov.uk/guidance/2019-03-27-reporting-malpractice-allegations)

- 3.7 Ofqual's Whistleblowing policy: [Ofqual's whistleblowing policy - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/policies/whistleblowing)
- 3.8 [Ofqual register of regulated qualifications: https://register.ofqual.gov.uk/](https://register.ofqual.gov.uk/)
- 3.9 Advance Assessments Person Specification: Independent Reviewer

4.0 Document Revision History

4.1 Following improvement identifications and review with colleagues, the Assessment Manager is responsible for revisions of this policy/procedure and completion of the table below, before issue of the amended policy/procedure.

Date (most recent first)	Revision(s)	Reason for revision(s)	New Version Number	Approved by (Initial)
12/01/2024	A8: Malpractice and maladministration added to policy section 'This includes intelligence from other Awarding Organisations' added to 2.2.1 Detail of file naming added to 2.7.4 'other regulatory body' added to 2.8.1 and 2.8.2 Item 2.8.5 added 2.8.6 added 3.8 with link to Ofqual Register of regulated qualifications added	Greater specificity and clarity Greater specificity and clarity To enable ease of identification for reports in regular reviews (AA_OP_07) To ensure inclusion To clarify responsibility for decision making when other Awarding Organisations offering similar qualifications may be impacted by malpractice or maladministration To clarify responsibility for informing other Awarding Organisations To aid process of determining other Awarding Organisations to be notified		
01/11/2022	Word 'qualification' in 1.0 Policy added ...'a qualification or assessment...'	Ensure that the policy clearly includes qualifications	2022/01	

AA_OP_19
Advance Assessments Malpractice or Maladministration Policy and Procedure

	Item 1.3.8 '/recording of face to face events...'added	Ensure data protection in place for recorded events		
	Item 1.5.4 word 'reasonable...' added	Clarity		
30/12/2021	<p>The term 'apprentice' replaced by 'Learner'</p> <p>Definitions of the terms 'Learner' and 'Centre' included in policy</p> <p>Policy aims modified</p> <p>Examples of malpractice and maladministration, sections 1.3 to 1.5 added to delineate examples</p> <p>Definitions of malpractice and maladministration added and section moved to front of document (now section).</p> <p>Actions to be taken in the event of malpractice or maladministration clarified (sections 1.8 to 1.10)</p> <p>Decision making process clarified, with statement on the persons responsible for decision making (section 2.9 and 2.10)</p> <p>Investigation section clarified and expanded (section 2.4)</p>	<p>Alignment with Ofqual terminology</p> <p>Clarity and alignment with Ofqual terminology</p> <p>Clarity and alignment with Ofqual Conditions of Recognition</p> <p>Clarity and alignment with Ofqual terminology</p> <p>Clarity and alignment with Ofqual terminology</p> <p>Clarity and alignment with Ofqual terminology</p> <p>Clarity and alignment with Ofqual terminology</p>	2021/04	G.M.

AA_OP_19
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	<p>Requirements of report from Investigating Officer added (section 2.7)</p> <p>Requirements of Investigating Officer added (section 2.1)</p> <p>Item 2.13 added – actions to be taken followed the discovery of an incorrect result</p>	<p>Clarity and alignment with Ofqual terminology to enable consistent investigations</p> <p>To enable consistency and fairness in investigations</p> <p>To ensure fairness, independence and competency</p> <p>Actions to be taken in the event of issue of an incorrect result.</p>		
04/08/2021	Item 1.1.7 added.	More information about Independent Governors reviewing incidents of malpractice or maladministration.	2021/03	G.M.
05/07/2021	<p>Policy aims item 3 added and subsequent policy aim items re-numbered.</p> <p>Item 1.1.6 added – actions to take in the event of perceived conflict of interest.</p>	<p>To add policy commitment to the need to ensure independence in all investigations and avoid conflict of interest.</p> <p>Detail on how responsibility will be passed to an Independent Governor where alleged malpractice involves a director of Advance Assessments or the Assessment Manager.</p>	2021/02	G.M.