Malpractice and Maladministration Policy 26-27

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Parenta®
Working together for our children

Parenta Training is a work-based training provider operating in the highly regulated field of vocational qualifications for the Early Years sector.

We are an approved centre with City and Guilds and VTCT Skills Awarding Bodies and are committed to ensuring that all aspects of the delivery of these qualifications meet these Awarding Bodies standards for professionalism and integrity.

What is Malpractice?

Malpractice is essentially any activity or practice which deliberately contravenes regulations and compromises the integrity of internal or external assessment processes and/or the validity of certificates. It means that there are serious concerns about the integrity of the assessment or the validity of certificates. We take it very seriously.

Malpractice by centres/providers:

Examples of malpractice:

- Deliberate misuse of the Awarding Organisation logos by the centre/provider
- Contravention of examination regulations by the centre/provider
- Falsification of documents

Malpractice by learners:

- Cheating of any nature by learners, including plagiarism
- Contravention of examination regulations by the learner
- Repeated maladministration (normally three consecutive incidents)

For specific guidance on plagiarism and cheating, please see the Plagiarism Policy.

Other examples of malpractice include:

- Failure to meet centre approval requirements
- Failure to advise Awarding Bodies of any changes with regard to the delivery of the award
- Failure to follow agreed procedures for the assessment or internal verification of candidates
- Claiming for incorrect units or awards
- Claiming for fictitious candidates
- Claiming a certificate for candidates who have not undergone appropriate assessment or completed the assessment process
- Deliberate failure to maintain appropriate auditable records e.g. learner files
- The unauthorised use of materials/equipment in assessment/exam settings (e.g. mobile phones/cameras)
- Inappropriate assistance to learners by centre staff (e.g. unfairly helping them to pass a unit or qualification)

- Denial of access to any authorised Awarding Body representative or regulatory authorities to premises, records, information, learners and staff
- Deliberate failure to carry out assessment, moderation or quality assurance activities in accordance with Awarding Body requirements
- Intentionally withholding information from Awarding Bodies, which is critical to maintaining the quality assurance and standards of our qualifications
- Deliberate failure to continually adhere to centre approval requirements or agreed action plans
- Deliberate failure to maintain appropriate auditable records, e.g. certification claims or forgery of evidence
- Deliberate failure to adhere to Awarding Bodies learner registration, submission of results and certification procedures
- Persistent instances of maladministration within the centre
- Creation of false records
- Fraud / Forgery of evidence
- False ID used at the registration stage
- Impersonation of a learner for an assessment
- A loss, theft of, or a breach of confidentiality in any assessment materials, including answers to question papers

Note: This list is not exhaustive and is only intended as guidance.

What is Maladministration?

Maladministration is essentially any activity or practice which results in non-compliance with administrative regulations and requirements and includes the application of persistent mistakes or poor administration within a centre (e.g. inappropriate use of learner records).

Maladministration is normally the result of a genuine mistake rather than any deliberate plan to gain an unfair advantage.

Examples of maladministration:

- Late registration of learners with awarding bodies
- Claiming certification for incorrect units

Staff and learners should take all reasonable steps to prevent malpractice and/or maladministration from occurring throughout the development, delivery and assessment of the Awarding Organisation's qualifications and programmes.

Dealing with Malpractice and Maladministration

Parenta Training has procedures in place to deal with malpractice on the part of candidates and Parenta staff.

Anybody who identifies or is made aware of suspected/actual cases of malpractice or maladministration at any time must immediately report their findings to the Head of Quality. In doing so, they should complete the Malpractice/Maladministration Incident form (Appendix A) and submit this with any appropriate supporting evidence.

The Head of Quality (or other appropriate senior leader appointed by the Head of Quality) will conduct an investigation of the allegation received. During an investigation, the candidate concerned will not be entitled to claim any certificates from the awarding body

In cases of malpractice by learners, Parenta Training will make learners aware that their final results may be void if the case is proven. The Employer will be notified.

In cases of malpractice or maladministration by staff, the relevant Head of Service and HR will be notified.

The investigation may involve:

- A request for further information or evidence
- Interviews with staff/learners involved in the investigation

A report will be written at the end of the investigation and will contain:

- The origin of the complaint and mode of discovery
- The investigations carried out
- The evidence obtained
- The conclusions drawn
- The recommendations for action and the resolution of the matter

Awarding bodies require Parenta Training to report any malpractice suspected after candidates have been registered. At all times, Awarding Body guidelines for the reporting of malpractice or maladministration will be followed.

The outcome will be communicated to the SLT and other relevant parties no more than 20 working days later. The report and any actions arising will be communicated to the Quality Team.

Where a decision is taken to invalidate certificates, Parenta Training will:

- Seek to protect the interests of individual candidates in so far as is reasonable and possible in the circumstances

- Contact the candidates involved and notify them of the status of their certificates and of any arrangements for re-assessment and/or certification
- Ensure that the original certificates are cancelled on its database so that duplicates cannot be issued

If a learner wishes to appeal against a decision to take action as recommended in the investigation report, they will be referred to the Appeals Policy.

If a staff member wishes to appeal against a decision to take action as recommended in the investigation report, they will be referred to the Appeals Policy.

Appendix 1

Malpractice and Maladministration Incident Form

Use this form to report any actual or suspected Malpractice or Maladministration. Before completing this report form, please read the Malpractice and Maladministration Policy, available from our website (external) or Quality sharepoint site (internal).

Once completed, sign and forward the form and any supporting evidence to:
Email: lisa.roper@parenta.com

We will keep your identity in the strictest confidence, however, we may need to contact you during the course of any investigations. Please provide the appropriate contact details below.

Your Details

Are you a:

Tutor ☐ Learner ☐ IQA ☐ Employer ☐ Other ☐ _____

Name	
Contact Number	
Email	
Setting Name *(where appropriate)*	
Date	

Details of Occurrence

Date of Occurrence:	

Please give specific details of the actual or suspected occurrence of malpractice or maladministration you are reporting and list the supporting documents you will be sending with this form. (Continue on a separate sheet if needed):

Also include (if possible):

- The names and job titles (if applicable) of Staff/Learners/Employers
- The names (if known) of anyone else that may be affected by the occurrence being reported

Supporting evidence/documentation included? ☐ Yes ☐ No

Investigating Officer Use only:

Date form received:	

Escalation/investigation necessary? ☐ Yes ☐ No

(where escalation is required please complete the malpractice/maladministration investigation and report form – Appendix 2)

Please give an explanation why your judgement for escalation is Yes or No:

Signed: _____

Job Title: _____

Date: _____

Appendix 2

Malpractice and Maladministration Investigation and Report Form

Investigating Officer:

Name	
Email	
Job Title	

Date Incident Form received:	

Is the incident:

☐ Malpractice

☐ Maladministration

Notification of investigation submitted in writing to:

Reporting informant	☐	Date	
Learner	☐	Date	
Head of Service	☐	Date	
Employer	☐	Date	
HR	☐	Date	

Investigating Officer Notes/Record of conversations:

Supporting Evidence (enter NA if not required/applicable)

Learner Interview (enter NA if not required/applicable)

Employer Interview (enter NA if not required/applicable)

Colleague Interview (enter NA if not required/applicable)

Other Interview(s) (enter NA if not required/applicable)

Additional written statements gathered from:

Reporting informant	☐	Date	
Learner	☐	Date	
Head of Service	☐	Date	
Employer	☐	Date	
HR	☐	Date	
Other (please specify)	☐	Date	

Investigating Officer Outcome:

Malpractice ☐ Yes ☐ No

Maladministration ☐ Yes ☐ No

Notes:

Actions required/Impact of outcome:

Detail	Actioned
	☐
	☐
	☐
	☐
	☐

Detail	Actioned
	☐
	☐
	☐

Notification of investigation outcome submitted in writing to:

Reporting informant	☐	Date	
Learner	☐	Date	
Head of Service	☐	Date	
Employer	☐	Date	
HR	☐	Date	
Awarding Body ☐ C&G ☐ VTCT	☐	Date	

Investigation Complete and Closed

Signed	
Name	
Date	

This form and all supporting evidence records must be submitted to the Head of Quality for Centre records.

Parenta - The Home of Early Years

Growing a setting and a great childcare team shouldn't be hard - Parenta makes it simple. We're the UK's leading specialist apprenticeship training provider for the early years sector - helping nurseries recruit, train, and retain brilliant practitioners,

And it doesn't stop there. From nursery management software, business support that actually makes a difference, and expert free sector resources, Parenta is the partner your setting didn't know it needed.

EARLY YEARS TRAINING

Boost your team's motivation and keep staff for longer by offering them childcare training – the ideal tool for you to develop and retain your staff.

TRAINING COURSES:

Government Funded:

- Level 2 Early Years Practitioner
- Level 3 Early Years Educator – now with a 'Fast Track' option – 52 weeks + EPA
- Level 5 Early Years Lead Practitioner

Qualification only courses:

- L3 SEND Coordinator
- L5 Diploma for Senior Early Years Practitioners

FREE RECRUITMENT

Our team of dedicated recruitment experts will help you find a suitable apprentice - **for free**. Once found, we will sign them up and get them started on their childcare course - providing one-to-one support throughout their training.

Book a call with us today and discover how we can grow your setting

NURSERY MANAGEMENT SOFTWARE – ABACUS ADVANTAGE

- **Abacus Advantage** helps nursery managers and owners understand their money simply and clearly
- It combines **easy-to-use software**, covering all aspects of your nursery business
- Practical guidance and hands-on support to show you exactly where your income comes from, where the pressure builds, and what to do about it

Book a free clarity call today

MARKETING SOLUTIONS

Parenta designs and builds childcare websites that attract parents, impress Ofsted, and turn visitors into enquiries.

- **Websites that work** - built by a team that knows childcare inside out.
- **Branding that means business** - from logos and prospectuses to newsletters and business cards, we create a look that makes your setting stand out and stick in people's minds.
- **Social media made simple** - we'll get you set up, show you what works, and help you build a visible, trusted presence that keeps your setting front of mind for local families.

Contact our marketing solutions team

FREE RESOURCES FOR ALL THOSE WHO WORK IN CHILDCARE

How To Guides
Covering the common challenges you face whilst working in childcare, both for childcare practitioners and business owners.

Free Webinars
Early years experts share their insights, best practices, and valuable experiences LINK

Parenta Blog
Over 3000 articles covering all things early years, written by sector experts LINK

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www.parenta.com

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