

## Malpractice Policy and Procedures

### Policy statement

HTFT Partnership Limited (hereon HTFT) considers malpractice to consist of any act which undermines the integrity and credibility of assessment and the validity of certification. Acts of malpractice apply to learners and centre staff (including tutors, assessors, IV and administrators).

Malpractice refers to any deliberate action(s), neglect, default or other practice that compromises, or could compromise:

- The assessment process
- The integrity of AAT qualifications
- The validity of a result or certificate
- The reputation and credibility of the awarding organisation
- The qualification or the wider qualifications community.

### Candidate Malpractice

The following are examples of malpractice by AAT students. The list is not exhaustive and other instances of malpractice may be considered and acted upon.

- Misuse of AAT examination material.
- Behaving in such a way as to undermine the integrity of the AAT examination.
- Failure to abide by the instructions or advice of an invigilator, or the AAT in relation to the examination rules and regulations.
- Failure to abide by the conditions of supervision designed to maintain the security of the AAT examinations.
- Disruptive behaviour in the AAT examination room (including the use of offensive language).
- Introduction of unauthorised material into the AAT examination room e.g. notes, study guides, personal organisers, own blank paper, programmable calculators, dictionaries (when prohibited), personal stereos, mobile phones or other similar devices.
- Obtaining, receiving, exchanging or passing on information which could be AAT examination related (or the attempt to) by means of talking or written paper/notes.
- Impersonation: pretending to be someone else, arranging for another to take one's place in an AAT examination.
- The inclusion of inappropriate, offensive or obscene content in either a computer-based test or assessment.
- Copying from another AAT student (including the misuse of ICT to do so).
- Collusion: working collaboratively with other AAT students.
- Plagiarism: the failure to acknowledge sources properly and/or the submission of another person's work as if it were the AAT student's own work.
- Theft of another AAT students work.
- The deliberate destruction of another AAT students work.
- The alteration of any results documentation, including certificates

In short, malpractice can be the breach of any published regulations or code of practice, whether intentional or inadvertent, or any practices which place the integrity of qualifications at risk. It can be caused by training providers and their staff, their candidates, and awarding organisations.

When acts of malpractice have been identified, the following procedure takes place:

- Reporting any allegations of malpractice/maladministration to AAT
- Suspected malpractice is reported to the IV.
- An investigation is carried out by the Director.
- The facts are established and collated.
- The evidence is assessed by HTFT's Director and course manager to establish the actions to be taken.
- All evidence of investigation is retained confidentially by HTFT.

HTFT has ongoing quality assurance systems in place to prevent malpractice, and to promote and monitor good practice.

## Steps we will take to minimise malpractice

At induction staff and students will be aware what malpractice means and are aware of the penalties.

At induction staff and students will be aware of HTFT's malpractice policy and know where to find it.

Ensure all staff invigilating exams are aware of examination procedures as laid down by the Awarding Organisation.

Ensure Awarding Organisation examination procedures exams are adhered to.

All AAT students will have access to a printable copy of the AAT regulations regarding examinations.

The document will be available in the student forum of the virtual learning environment.

Verbal Announcements Before the beginning of every examination, the invigilator is to ensure that AAT students are given a verbal reinforcement of the AAT regulations.

In addition, AAT students are given the opportunity to hand in mobile phones, other programmable devices, bags or any other items that may compromise the sitting of their exam until the exam is complete.

## Malpractice & Maladministration Procedure

### Procedure

Malpractice & Maladministration applies to learners and centre staff (including tutors, assessors, internal verifiers and administration staff).

#### Step 1

Cases of suspected malpractice / maladministration should be reported to the Director in the first instance, who will formally report the issue to the AAT course director and internal verifier. The director will notify the Awarding Organisation of the suspected malpractice immediately by telephone or email and they will advise the need for investigation as part of their Quality assurance procedure.

The report must be recorded and retained in the Malpractice / Maladministration confidential file on HTFT's secure server.

Timescale from Step 1 to Step 2: 2 days

#### Step 2

Awarding Organisation will advise the process of investigation to be carried out. HTFT to carry out investigation by the AAT course director, Internal verifier. This will be conducted in an unbiased, fair and confidential manner. The facts will be established and the evidence collated.

Timescale from Step 2 to Step 3: 2–20 days

#### Step 3

The evidence is assessed to establish the actions to be taken, and communication will take place with all parties. Training and/or disciplinary action will be identified for HTFT staff if appropriate.

Timescale from Step 3 to Step 4: 20 –28 days

#### Step 4

All evidence of investigation and outcomes will be stored on our secure server. Continuing support, guidance and monitoring to be given to all relevant parties as appropriate.

## AAT Response

The AAT will respond either by stating;

- No further action is required.
- Ask the AAT Director to conduct a full investigation and report back with a full written report.
- Where alleged fraud or a serious breach of security is suspected, the AAT will elect to complete the investigation.

### AAT Response to HTFT Partnership of the Incident

- Take no further action.
- Make a decision in accordance with AAT regulations.
- Investigate the matter further.

### AAT Response in the Case of Alleged Fraud or Serious Breach of Security

- Ask HTFT to conduct an Investigation and report back to AAT.
- AAT will complete an investigation.
- Nominate a third party to complete an investigation and report back to AAT.

## Contents of the Report

A statement of facts including how the investigation was carried out.

- Written statements from all persons interviewed.
- Where appropriate, candidates work, assessment and internal verification records.
- Where necessary, a copy of all remedial actions taken to maintain the integrity of certification.
- Any mitigating facts which may have led to the malpractice. AAT will inform HTFT of the outcome of the investigation and list any actions to be taken.

### Centre Malpractice

The centre has 5 days to appeal against the judgement if they disagree with the decision made.

## Contacts

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Internal verifier

Contact details to be supplied on a case-by-case basis.

## Appeals

Appeal – Student or Staff Member Malpractice

The AAT student/s or staff member accused of malpractice should be made aware of the avenues for appeal should a judgement be made against him or her. Full details of AAT's appeals procedure will be sent to the candidate or staff member if a proven judgement is made and the candidate or staff member disagrees with the judgement.

Examples of when a student can appeal:

- the training provider/assessment venue has conducted an investigation and the student disagrees with the outcome
- AAT has asked the training provider/assessment venue to conduct an investigation and the student disagrees with the outcome
- AAT has investigated and the student disagrees with the outcome. Students also have the right to enquire about the results of an external assessment.

Centre Malpractice

The centre has 5 days to appeal against the judgement if they disagree with the decision made