Centre Template Policies and Procedures

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Purpose

This guide has been made with the intention of being provided to IQ centres for use when delivering IQ qualifications. Should you decide to use your own company policies and procedures, you must ensure that they are complaint and do not conflict with the policies and procedures contained within this document.

As an IQ centre, we welcome you to reformat the content of this document to compliment your own company design and ask you to complete the sections highlighted in yellow with your own company’s details.
Conflicts of Interests Policy
The purpose of this policy is to protect and mitigate against any potential or actual conflicts of interest.

We strive to promote principles of transparency and fairness to avoid or manage conflicts of interests without compromising the integrity of qualifications, the individual or the organisation concerned.

Definition of conflicts of interest

In this context a conflict of interest is defined as “A conflict between private or commercial interests and the official responsibilities of a person in a position of trust”.

Potential conflicts of interest will most frequently, but not exclusively, occur when a person involved in the development, delivery or award of qualifications has:

- A personal interest in the outcome of an activity
- A financial interest in an activity that is dependent on a particular outcome or activity
- A financial interest in, or holds an appointment in a company or business which will gain from a particular outcome or activity
- A commercial interest in a competitor company which will gain from a particular outcome, or lack of outcome.

For example, if:

- A marker has a personal interest in an achievement or qualification awarded to a learner.
- An assessor or verifier is a relative of the learner they are assessing.
- A consultant or partner works for another company offering similar qualifications.
- Preferential treatment is provided to a particular centre due to personal connections with a person in a position of trust.
- An External Verifier has previously worked, or currently works and support the centre which they are assigned to externally verify.
- An External Verifier is involved in an investigation where the quality of their own work is part of the focus of the investigation.

Principles

Anyone involved in the development, delivery and award of qualifications must:

- Conduct their activities so that the aims of are implemented
- Monitor their activities, so as to maintain the integrity of assessments and qualifications
- Ensure that they make their role clear and separate from their other functions, as far as is possible
- Commit to proactively identifying, reviewing and managing any risks of potential conflict of interests.
- Commit to dealing with potential conflicts of interests openly and transparently.
- Report as soon as practicable any possible conflict to an appropriate authority, such as the Head of Centre, IQ Quality Assurance, General Manager or appropriate governing body.
- Contribute towards putting in place effective and proportionate controls to manage risks of adverse effects arising from potential conflict of interests identified.

It is the responsibility of each person relevant to this policy to identify and report any update of their potential conflicts of interest to the Head of Centre / IQ.

If a potential conflict of interest is not declared but known to any other person relevant to this policy, then the person to whom it is known must inform the Head of Centre and the IQ Quality Assurance Team as soon as practicable. In those cases, clarification will be sought from the individual concerned, and where appropriate, a Statement of Declaration will be obtained or other appropriate action.

Failure to declare a potential conflict of interest may be considered malpractice. As such, IQ may also refer to the relevant policy e.g. the Malpractice Policy or Disciplinary Policy.

Action to Resolve or Mitigate against a Potential Conflict of Interest
Following a declaration of potential conflict of interest, a risk assessment of the conflict of interest, and to decide effective mitigation plans. As a general principle, centre staff should abstain from making assessment decisions for any learner whom he / she has a personal connection outside of the context of learner assessment.

Diversity and Equality Policy

Statement of Purpose
To ensure that assessment procedure is open, fair and free from bias and to the required standard – and that no disadvantage or advantage is accrued to any group of learners or individuals.

Diversity and Equality
We are committed to ensuring that there are no artificial barriers to entry or delivery of qualifications and that qualifications are:

- available to everyone who can achieve the required standard
- free from barriers which restrict access and progression
- free from overt or covert discriminatory practices
- able to accommodate reasonable adjustments of individuals
- free from any restrictions that are not legally required

We are committed to Diversity and Equality and our policy is to ensure that no person involved or associated with the organisation receives less favourable treatment on the grounds of their:

- Age
- Being or becoming a transsexual person
- Being married or in a civil partnership
- Being pregnant or on maternity leave
- Disability
- Race including colour, nationality, ethnic or national origin
- Religion, belief or lack of religion/belief
- Sex
- Sexual orientation
- or any other identifiable discriminatory cause

We will comply fully with the letter and spirit of all laws and directives in relation to diversity and equality. This includes, but is in no way limited to:

- The Equality Act 2010 that now encompasses:
  - The Equal Pay Act 1970
  - The Sex Discrimination Act 1975
  - The Race Relations Act 1976
  - The Disability Discrimination Act 1995
  - The Employment Equality (Religion or Belief) Regulations 2003
  - The Employment Equality (Sexual Orientation) Regulations 2003
  - The Employment Equality (Age) Regulations 2006
  - The Equality Act 2010 Part 2
  - The Equality Act (Sexual Orientation) Regulations 2007
  - The Gender Recognition Act 2004
  - The Sex Discrimination Act (Amendment) Regulations 2008
Safeguarding of Young People and Vulnerable Adults Policy

Statement of purpose

- To promote an environment that is safe, where staff and learners treat each other with mutual respect and develop good relationships built on trust.
- To raise the awareness of all staff, teaching and non-teaching, of the need to safeguard young people and vulnerable adults and of their rights and responsibilities in identifying and reporting possible cases of abuse.
- To provide a systematic means of supporting young people and vulnerable adults known or thought to be at risk of harm.
- To ensure that appropriate risk assessments are undertaken by IQ Centre’s and other managers to ensure that learners are safeguarded.
- To ensure that relevant information about a young person or vulnerable adult at risk of harm is disseminated to appropriate staff within the centre on a ‘need to know’ basis.
- To ensure that all staff who have access to young people or vulnerable adults have been checked for their suitability.

Definitions

For the purposes of the Child and Vulnerable Adult Protection Policy

- A ‘young person’ means any person under the age of 18 (i.e. those who have not yet reached their 18th birthday).
- A ‘vulnerable adult’ means any person “who is or may be in need of community care services by reason of mental or other disability, age or illness; and who is or may be unable to take care of him or herself, or unable to protect him or herself against significant harm or exploitation because of mental or other disability, age or illness.”
- ‘Staff’ means all employees, full-time and part-time, and all agency, contract and volunteer staff working for IQ group of companies.

Key Safeguarding Principles

The needs of the young person are paramount and underpin all child protection work and resolve any conflict of interests

- All young people have the right to be safeguarded from harm and exploitation
- IQ Centres have a responsibility to provide a safe environment and minimise risks of harm to young people’s welfare
- Centre staff have a responsibility to identify young people who are suffering or likely to suffer significant harm and take appropriate action with the aim of making sure they are kept safe.
- Responsibility for protection of young people must be shared because young people are safeguarded only when all relevant agencies and individuals accept responsibility and co-operate with one another
- Statements about or allegations of abuse or neglect made by young people must be taken seriously

Responsibility for Child and Vulnerable Adult Protection

All IQ centre’s must ensure that they have the relevant DBS (Disclosure & Barring Service) checks in place for all front line trainers and personnel who come into contact with young adults under the age of 18. IQ Ltd will need to see evidence of these checks as part of the quality assurance process.

The nominated Director, Name of responsible Director, will be responsible for the implementation of the child and vulnerable adult protection policy and procedures.

IQ Ltd will in addition have a Safeguarding and Protection team who will deputise for the Director and will also lead on the implementation of this policy in the areas of the company for which they have responsibility. The Safeguarding and Protection Team will include:
Named staff

All staff are expected to contact one of the Safeguarding and Protection Team for advice, when necessary or to make referrals.

All staff will familiarise themselves with this policy as part of their induction and will be noted on each individual's training record. Refresher training will be provided to all employees to update on legislation changes.

Confidentiality, Reporting and Disclosure

We recognise the need to comply with relevant legislation and guidance in relation to data protection and confidentiality.

We also recognise that, where there are concerns about abuse or safeguarding, data sharing with appropriate agencies may be necessary even when it is contrary to the wishes of an individual.

The following will assist with making informed decisions about sharing data:

- Staff know that they cannot promise confidentiality in all cases as they may have to pass on information to other professionals to keep the young person or vulnerable adult safe.
- Staff will only share relevant confidential information, i.e. when disclosing information without consent the member of staff limits the extent of the disclosure to that which is absolutely necessary to protect the young person or vulnerable adult.
- Referrals to other agencies such as Children’s Social Care should be made with the young person’s agreement where practicable. However, it may not be practicable to seek their agreement where, for example, seeking permission might place them or another person at risk of serious harm or where they are not mentally competent to give their agreement.
- Disclosure of information can take place without consent in cases where this is justifiable in the overriding public interest – e.g. to protect the young person from significant harm.
- In the context of child protection the welfare of the young person outweighs the family’s right to privacy.
- Vulnerable adults may choose to remain at risk in dangerous situations. Professional staff may find they have no statutory powers in cases where the adult is judged to have sufficient capacity to make his or her own choices and refuses the help which staff feel is needed and where public interest considerations do not apply.

Record Keeping

An accurate record should be made whenever there is a concern about a child or vulnerable adult in terms of risk of harm or safeguarding.

The record should include:

i) Personal details of the child or vulnerable adult.
ii) The nature of the concern.
iii) The source(s) of information about the concern.
iv) Any advice given.
v) Whether confidentiality has been discussed with the child or vulnerable adult.
vi) Names of staff with whom discussed
vii) Details of action taken or any referral to an external agency
viii) Date and signature of the person making the record

The government website can provide guidance and assistance on all safeguarding issues if not listed below: https://www.gov.uk/government/publications/safeguarding-policy-protecting-vulnerable-adults

Some Definitions of Abuse

a) Physical abuse this may take many forms e.g. hitting, shaking or poisoning a young person or vulnerable adult. It may also be caused when a parent or carer feigns the symptoms of, or deliberately causes, ill health to a young person or vulnerable adult.
b) Emotional abuse this is the persistent emotional ill treatment of a young person or vulnerable adult such as to cause severe and persistent effects on their emotional development. Some level of emotional abuse is involved in most types of ill treatment of young people or vulnerable adults, though emotional abuse may occur alone.

c) Sexual abuse this involves forcing or enticing a young person or vulnerable adult to take part in sexual activities. This may include non-contact activities such as looking at, or in the production of pornographic materials, watching sexual activities or encouraging young people or vulnerable adults to behave in sexually inappropriate ways.

d) Neglect involves the persistent failure to meet a young person’s or vulnerable adult’s basic physical and/or psychological needs, likely to result in the serious impairment of their health and development. This may involve failure to ensure access to appropriate medical care or treatment. It may also include neglect of basic emotional needs.

The Context of Abuse

e) Family Circumstances: Domestic Violence
   i) Where there is domestic violence the implications for the vulnerable adult or young person at college and for younger children in the household must be considered. Young people from families with a history of domestic violence often have behavioural difficulties, absenteeism, ill health, bullying, and drug and alcohol misuse.

f) Drug/alcohol abusing parents
   i) There is an increased risk of violence in families where this occurs. A young person at College may have to take on responsibilities for younger children in the family.

g) Forced Marriages
   i) Forced marriage is an entirely separate issue from arranged marriage. Forced marriage is a human rights abuse and falls within the Crown Prosecution Service definition of domestic violence. Young people at risk of a forced marriage are usually experiencing physical and/or emotional abuse at home.

h) Mental Health Issues
   i) Self-harming and suicidal behaviour
   ii) Self-harm, suicide threats and gestures by a young person or vulnerable adult must always be taken seriously and may be indicative of a serious mental or emotional disturbance. The possibility that self-harm, including a serious eating disorder has been caused or triggered by any form of abuse or chronic neglect should not be overlooked.

i) Abuse by peer group: bullying, racism and abuse
   i) Bullying is a common form of deliberately hurtful behaviour, usually repeated over a period of time, when it is difficult for the victims to defend themselves.
   ii) It can take many forms, but the three main types are physical (e.g. hitting); verbal (e.g. threats); and emotional (e.g. isolating the individual).
   iii) It may involve physical, sexual or emotional abuse including homophobic, sexual, racial or religious harassment, or behaviour which is offensive to those with learning or physical disabilities.
   iv) Severe harm may be caused to young people and vulnerable adults by the abusive and bullying behaviour of their peers. The damage inflicted by bullying is often underestimated and can cause considerable distress. In extreme cases it can cause significant harm, including self-harm.
Assessment / Internal Verification Policy

Statement of purpose
- To ensure that assessment methodology is valid, reliable, open and prevents disadvantage by ensuring the process is open, fair and free from bias to the required standard.
- To ensure that there is accurate and detailed recording of assessment decisions

Prior Assessment
We will assess the skill level of candidates and only enter them for assessments / exams when they are ready. When doing this consider:
- The other qualifications that the candidate has achieved
- The prior work experience/training undertaken by the candidate

Recognition of Prior Learning
Recognition/Accreditation of prior learning or experience (RAPL) is an assessment process which enables recognition of achievement from a range of activities using any valid assessment methodology. Evidence submitted for RAPL must be authentic, current, relevant, sufficient, and in accordance with any requirements and assessment strategy as set out in IQ’s qualification specifications.

Reasonable Adjustments
A reasonable adjustment may be unique to that individual.

Whether an adjustment will be considered reasonable will depend on a number of factors which will include, but are not limited to:
- the needs of the disabled candidate;
- the effectiveness of the adjustment;
- the cost of the adjustment; and
- the likely impact of the adjustment upon the candidate and other candidates.

Special Consideration
Candidates will be eligible for special consideration if they have been fully prepared and have covered the whole course but performance in the examination, or in the production of controlled assessment/coursework, is materially affected by adverse circumstances beyond their control. These include:
- temporary illness or accident/injury at the time of the assessment;
- bereavement at the time of the assessment (where whole groups are affected, normally only those most closely involved will be eligible);
- domestic crisis arising at the time of the assessment;
- serious disturbance during an examination, particularly where recorded material is being used;
- other accidental events at the time of the assessment such as being given the wrong examination paper, being given a defective examination paper or CD, failure of practical equipment, failure of materials to arrive on time;
- participation in sporting events or other competitions at an international level at the time of certification, e.g. representing their country at an international level in football or hockey;
- failure by the centre to implement previously approved access arrangements.
- When candidates have been fully prepared for the specification but the wrong texts have been chosen, special consideration may be given at the discretion of the awarding body. Centres are advised that it is their responsibility to ensure that the correct texts are taught. Where this has not happened there can be no guarantee that a candidate will receive special consideration. Such instances will be investigated by the awarding body on a case by-case basis.

In all cases, IQ’s special consideration policy/procedure will for any formal request.

Assessors
- Ensuring that assessment is carried out
• Ensuring that workplace personnel who contribute to assessment decisions, operate within centre procedures and that necessary information for internal verification activities is complete and available to the internal verifier
• Taking into account the particular assessment requirements of the candidate
• Ensuring that each candidate is aware of his/her responsibility with regard to the qualification
• Judging students’ work against performance criteria
• Identifying candidates’ achievements
• Identifying gaps in achievements
• Giving constructive feedback to the candidate
• Meeting regularly with other assessors and the Internal Verifier in order to ensure a consistent approach
• Explaining and confirming assessment decisions with Internal Verifier
• Maintaining their own records of each candidate’s achievement

**Internal Verifiers**
Centres must carry out internal verification and standardisation of assessments and assessors to ensure that effective learning in accordance with the accreditation requirements has been achieved, and each assessor is correctly interpreting and applying the requirements of the units consistently.

An Internal verifier should:
1. Establish procedures to develop a common interpretation of standards between assessors
2. Plan regular meetings with assessors to discuss assessment decisions and verification issues
3. Sample regular evidence of the assessment decisions made by all assessors across all aspects of assessment to monitor and ensure consistency in the interpretation and application of standards
4. Establish record-keeping systems and documentation used for assessment and internal verification
5. Support assessors by offering guidance and advice on a regular basis
6. Internal Verifiers are not permitted to IV their own assessment.

In addition to the above, the Internal Verifier has following responsibilities:
• To ensure that the assessors are appropriately qualified and that CPD is maintained
• To maintain and monitor arrangement for processing assessment information
• To provide confirmation to awarding bodies that assessment practice is to national standards through the quality system, procedures and records.
• To sample the records of assessors to monitor consistency of assessment standards
• To observe (where appropriate) a sample of assessments taking place to monitor consistency of assessment decisions
• To support the assessors through offering guidance and advice
• To act according to agreed procedures when disputes and appeals arise
• To ensure that opportunities are made for each candidate to achieve the required levels for each unit of the study programme
• To maintain regular contact with assessors

**There will be at least 1 nominated internal verifier for each qualification a centre delivers.**
All team leaders / internal quality assurers to be suitably qualified and also meet any occupational requirements.

**Internal moderators/verifiers cannot verify their own assessments.**

**Sampling and Verification Plan**
Internal verification should allow centres to evaluate the quality of formative guidance given to learners it is vital that the IQA/IV participates in the process at different stages in their work, not just upon completion. This might include reviewing learner work:
• Early on in the programme
• When one or two of the units or requirements are completed.
Interim internal quality assurance enables problems to be identified at an earlier stage and prevent disagreement of assessment judgements at a later stage. It can also highlight individual needs for support or development which in turn may be used to develop the team as a whole. Similarly it provides an opportunity to identify and share good practice within the team.

**Assessment sample size for internal verifiers**
There is no algebraic formula to determine sample size for internal verification but a well-constructed sample should consider so far as possible the following points:

- Issues identified at previous external verification or centre risk assessments.
- The full range of units and qualification attainment assessed by each assessor.
- The full range of grading criteria (e.g. not met, pass, merit, distinction), including review of all borderline results.
- The full range of methods of assessment and evidence.
- New Qualifications / Units: When a unit or programme is first introduced, the internal verifier should increase the verified sample by at least 20%.
- New members of staff: All assessments should be internally verified by an experienced assessor / internal verifier until such time the internal verifier is happy to reduce the sample size. New or inexperienced assessors should be shadowed or signed off by an experienced assessor for an appropriate period and should have a larger sample of internally verified by a verifier of at least 50%.

**Complaints Policy**
We welcome any comments, suggestions, compliments and feedback about the service you have experienced when contacting us or when using any of our products or services, and all our staff and centres are here to help ensure your experience with us remains as positive as possible.

However, if you do not feel satisfied with our service, please contact:

- Contact Name
- Contact email
- Contact phone number

If you remain unsatisfied with your complaint, you have a right to escalate your complaint to our awarding organisation in line with IQ’s Complaints Policy and Procedure:
industryqualifications.org.uk/centre-portal/general-guidance/company-policies/iq-enquiries-and-complaints-procedure

**Data Protection and Retention Policy**
- We are registered with the Information Commissioner’s Office (ICO) and abide by Data Protection Legislation. Our ICO registration number is XXXXXX
- We will put in place technical, organisational and security measures are in place to prevent unauthorised access to or loss and / or destruction of information, and report any breaches to the relevant party (including IQ).
- Before we process your data, we will obtain written consent from you that it will be processed in accordance with our data protection notice.
- You can request copies of your personal data by asking for a Subject Access Request. We charge £10, in accordance with statutory guidelines.

**Record Retention**
- We will retain sufficient assessment and verification records to allow for review of assessment over time.
- The following documents are retained for a period of at least 3 years:
  - Learner application records (prior learning)
  - Record of achievement / tracking documents
  - Assessment plans, action plans, and feedback reports
  - Audio / video recordings of assessments
  - Investigation and interview records
  - Internal quality verification sampling plans, records and feedback reports
- Staff recruitment, DBS and competency records

(NB: Time requirements may vary depending on the regulator’s requirements, any variation will be noted in specific qualification specifications and those take precedence)

Retention of assessment evidence

- Your assessments will not usually be returned to you until we complete verification; unless we make a copy.
- We will retain a digital copy of your portfolio of assessment evidence for a period of at least 3 years, unless it is not practicable to do so.
- We may have to ask you to provide your portfolio back to us for review within 3 years.

Data Protection Notice

We, Centre Name, are required to comply with the provisions of the Data Protection Act 1998 (the ‘Act’) in relation to how we handle any personal data which we obtain from you. Any personal information gathered will only be used in the context of your studies with us. We may also collect sensitive personal data relating to you but only with your explicit consent in advance.

We may process all the information we obtain from you to enable us to fulfil our contractual obligations to you.

We may also request further information from third parties or shall disclose your details to other selected third parties, such as IQ, their regulators or industry bodies. In disclosing your personal details to us, you agree that we may process and in particular may disclose your personal data:

- As required by law to any third parties
- To IQ, who will process your personal data in accordance with their Data Protection Policy (available at: http://www.industryqualifications.org.uk/website-privacy-policy#section-0)

By accepting our terms and services, you accept that we will process your information as above.

Health and Safety*

Exemplar policies can be found at the Health and Safety Executive website.


Please note that we require all centres to hold a health and safety policy to ensure any risks to learners are appropriately mitigated.

Environmental Policy

We are committed to minimising the environmental impact of our operations through the adoption of sustainable practices and continual improvement in environmental performance. We aim to develop a sustainable business that is financially viable, environmentally sustainable and socially equitable.

In order to achieve this, we will:

1. Ensure we comply with legislation, regulations and codes of practice on environmental matters relevant to our operations
2. Be conscious of the environment beyond our immediate operations and take steps to prevent pollution and minimise environmental harm and nuisance through:
   a. Minimising our business travel and focusing on greener travel where possible
   b. Reducing the consumption of resources such as paper and plastic
   c. Minimising the volume of waste generated and maximise reuse, recycling and energy recovery from waste
3. Monitor and continually improve our environmental performance through :
   a. Reassessing changing technology, business requirements and best environmental practices
4. Develop sustainable supply chains by using wherever appropriate suppliers that have environmental standards compatible with our own.
Appeals Policy

Statement of purpose
To enable learners to challenge decisions made by the centre in a constructive and open way and outline the learner's rights to appeal to other parties where appropriate.

Decisions that can be appealed
Decisions that could be challenged include (but are not limited to):

- Assessment results.
- Application for Reasonable Adjustments and Special Consideration.
- Action taken against you following an investigation into malpractice and maladministration.

How to apply for an Appeal
Your tutor should support you in requesting for a review or an appeal. Ordinarily, you would complete a review or appeal form, depending on your circumstances. If you are unsure whether you can appeal a decision, contact role responsible.

Appellants must include:

- Clear reasons for the appeal;
- All relevant supporting evidence, where applicable;
- For the independent appeals stage, the application form must also contain clear reasoning as to why the appellant considers that IQ did not follow the required procedures during the appeals process or any other rationale for escalating their case to this stage of appeal.

Upon receipt of an appeal, we will acknowledge receipt of the appeal and carry out an initial assessment of the information / evidence required to deal with the appeal, and any additional information required.

We will review the decision with a person who was not involved in the outcome of the original decision, and communicate whether your appeal is successful to you in writing.

If you are not satisfied with the result of the appeal, or if you are appealing against a decision made by IQ, we will escalate these to IQ for consideration. We will support you in making your application. An administration fee is chargeable, but refundable if the decision is overturned.

In some cases, you may have a further avenue for appeals with other regulators or an ombudsman. For more information see IQ's EAR / Review and Appeals Policies at:

- Appeals : industryqualifications.org.uk/centre-support/general-guidance-for-centres/qualification-policies/appeals-policy

Malpractice and Maladministration Policy

Statement of purpose
The policy aims to protect the integrity of qualifications and centres by taking steps to identify and minimise the risk of malpractice by staff or learners, respond to any incident of alleged malpractice promptly, objectively and fairly.

This policy also provides centres with an outline of actions that should be taken in the event that any malpractice and maladministration is identified by a centre, and also actions that IQ will take to address those concerns.

According to JCQ guidelines for “Suspected Malpractice in Examinations and Assessments”;

*Malpractice which includes maladministration and non-compliance, means any act, default or practice which is a breach of regulations or which:
Compromises, attempts to compromise, or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate and / or

Damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre."

Any allegation or instance of malpractice must be reported to IQ immediately and failure to do so is itself malpractice.

Each case of suspected malpractice and maladministration will be considered on an individual basis, however, until the matter has been investigated, qualifications will not usually be processed to prevent potential further adverse effect.

Policy Owner
Head of Centre

Scope
This policy covers actual or suspected malpractice or maladministration perpetrated by learners, centres, or IQ members of staff.

Prevention of Malpractice
Centres should seek to avoid potential malpractice by:

- Explaining roles and responsibilities of learners in the learning and assessment process; and unacceptable practice
- Informing learners of the potential penalties for attempted and actual incidents of malpractice
- Showing learners the appropriate formats to acknowledge sources and record cited texts / other materials and information sources
- Asking learners to declare that their work is their own

Examples of malpractice / maladministration

At learner / candidate level:
- Copying of assessments from course mates.
- Presenting another learners work as their own or plagiarism from external sources.
- Taking unauthorised materials into an examination room.
- Impersonating other candidates, or allowing themselves to be impersonated during an assessment, or colluding in the act of impersonation.
- Obtaining, receiving, exchanging, or passing on information related to an assessment or examination taking place by; talking, written paper or notes or any information passed on by electronic means.
- Unauthorised access to any IQ assessment or examination paper.
- Failure to follow the instructions of the invigilator.
- Claiming false accreditation of prior learning.

At centre staff level:
- Allowing candidates access to previous assessments or examination papers without approval.
- Photocopying assessments or examination papers without approval.
- Changing the date of an assessment/examination without approval.
- Obtaining unauthorised access to assessment material prior to an assessment or examination.
- Assisting or prompting students with answers.
- Failing to keep completed assessments or examination scripts secure.
- Failing to send completed assessments or examination scripts to IQ on the prescribed day.
- Failing to supply an appropriate invigilator i.e. with no knowledge of the subject being assessed / examined.
- Failing to complete internal assessment, failing to record results in the prescribed way, failing to return completed work in accordance with awarding body regulations.
- Failing to conduct internal assessment using agreed assessment criteria.
- Failing to adhere to security regulations.
- Failing to comply with minimum Guided Learning Hours.
- Failing to comply with assessment or examination regulations, procedures or guidance documents.
- Allowing learners to access unauthorised materials during an assessment.
At awarding organisation level:

- Providing coaching or training to training providers and / or candidates using material from confidential external assessments.
- Allowing certification on the basis of incomplete or incorrect assessment records.
- Assisting or prompting students with answers.
- Failing to comply with awarding organisation regulations and procedures.
- Failing to keep assessments and examination paper contents secure.
- Failing to keep logs and database contents secure e.g. Data Protection Act.
- Failing to send results and paperwork in accordance with policies and procedures.
- Failing to keep assessment records, scripts and other materials secure.
- Failing to send papers and other assessments to assessors in accordance with policies and procedures.
- Failure of assessors, examiners and verifiers to retain, provide and return documents in accordance with policies and procedures.
- Failing to send papers and other assessments to assessors in accordance with policies and procedures.
- Showing a consistent lack of punctuality.
- Inappropriate correspondence with centres and prospective centres.

Suspected Malpractice at Centre or Learner level

If the centre has reason to believe that malpractice or maladministration has occurred:

- The centre should report the occurrence to the IQ’s Quality Assurance team as soon as practicable. Where applicable, centre staff may notify IQ through IQ’s Whistle Blower Policy (IGG/0.1/013).
- The accused should be made fully aware of any breach of IQ regulations in writing as soon as possible, with the possible consequences of their alleged actions.
- The Head of Centre should submit a full written report of the case with supporting evidence to IQ.
- The person accused of malpractice must be given the opportunity to respond to the accusation in writing.
- In serious cases, a director will have the power to suspend a member of staff, with full pay, pending investigation of the allegations. Suspension in these circumstances does not constitute disciplinary action.
- Learners should be made aware of the enquiries and appeals process if malpractice is established by the learner.
- If an interview with the accused is required, it must be conducted in the presence of the Head of Centre or other appropriate senior staff member. The Centre should ensure that two people are present that an accurate record of the meeting is made and forwarded to IQ as part of the supporting evidence. The accused must be given the opportunity to be accompanied by a person of their choice and should sign the record to indicate its accuracy.
- Any further action will be in the form of a detailed investigation and report from the centre, implemented by the Head of Centre. The report should contain:
  - Statement of circumstances and facts surrounding the investigation.
  - Written statements from all staff concerned.
  - A written statement from the learner(s) concerned.
  - Any extenuating circumstances e.g. medical reports.
  - Details of centre’s procedure for informing learners of IQ’s regulations.
  - Any unauthorised materials found during assessment / examination.
  - Learner’s work or assessment materials relevant to the investigation.
  - Relevant registers or other records of attendance (copies).
  - Relevant schemes of work (copies).
  - A written record of any interviews that have taken place.

In dealing with cases of malpractice, centres should be cognizant of any potential conflicts of interest that may be accrued. IQ’s Quality Assurance team reserve the right to observe or conduct any of the above actions, or to conduct its own investigation in to the matter where it feels that it is necessary.

Notification to relevant organisations

In line with conditions of recognition, IQ will inform:

- The relevant regulatory authorities where any event has occurred or is likely to occur that could have an Adverse Effect.
The centre, where malpractice, maladministration or any other occurrence may affect a centre undertaking any part of the delivery of a qualification which IQ makes available.

Another awarding organisation, where malpractice, maladministration or any other occurrence may affect that awarding organisation.

Where criminality is suspected, IQ will also report the matter to the police or other relevant statutory agency.

**Application of sanctions**

All factors will be considered in determining whether any sanction should be levied. The least severe sanction or penalty will be considered first. Sanctions may be decided by IQ.

**Learner Sanctions**

Learner sanctions could include, but are not limited to:

- The learner is issued with a warning.
- The learner may lose all marks related to that particular assessment.
- The learner may lose all marks related to that particular unit.
- The learner may be disqualified from the whole qualification.
- The learner may be periodically barred from registering on qualifications / training.
- The learner may be banned from registering on qualifications / training.
- In the case of significant malpractice the incident may be reported to other awarding bodies, the regulators and/or the police.

**Staff Sanctions**

Please refer to the Disciplinary Policy. In general; staff sanctions could include, but are not limited to:

- The member of staff being issued with a written warning.
- The member of staff being issued a final written warning.
- The member of staff must be supervised by another member of staff for a set time period.
- The member of staff is required to undertake further training prior to conducting further responsibilities.
- The member of staff is suspended for a period of time.
- The member of staff may be banned from being involved in the delivery of IQ qualifications.
- The member of staff being demoted.
- The member of staff being dismissed.

**Centre Sanctions**

Centre sanctions could include, but are not limited to:

- The centre is issued a written warning.
- The centre may be required to produce an action plan or to address specific action points.
- The centre is required to take specific steps to rectify any issues arising from the occurrence.
- The centre may have direct claims status removed for some or all approved qualifications.
- The centre may have its approval status removed for some qualifications, or some centre staff.
- The centre may be required to operate under specific conditions, i.e. requiring all examinations to be invigilated by an external party nominated by IQ.
- The centre’s approval status is suspended and is not allowed to register or certificate any further learners temporarily.
- The centre may have its centre approval status removed.

**Suspected Malpractice by an IQ Employee**

The centre should report this to IQ immediately, in line with IQ Whistle Blower’s Policy if necessary. The enquiry will be dealt with the Investigation Policy and Procedure, IQ’s Disciplinary Procedure or other applicable policy / procedure as necessary.
Outcome of IQ Employee Investigations
IQ will not normally disclose the outcome of internal investigations relating to IQ members of staff. However, where decisions are made arising out of those investigations that impacts the centre’s status or learner achievements, IQ will advise the centre on those impacts and decisions accordingly.

Decisions
The outcomes of any alleged malpractice investigations is to be communicated as soon as possible after the decision has been made, unless it is not practical to do so. If the decision is referred to IQ, IQ will make the decision known to the nominated party at the centre.

It is the responsibility of the centre to communicate those decisions to staff, learners and any other individuals affected by the decision. Where the centre has ceased working with IQ, decisions may be communicated directly to learners.