

## Introduction

This procedure is aimed at anyone involved in Morris Services Limited within or outside the UK, whether as a centre, a learner or any other interested party, who identifies or suspects potential malpractice/maladministration. It also lays out the way Morris Services Limited staff will deal with any such cases to ensure that all malpractice and maladministration investigations are conducted in a consistent and fair manner.

It sets out the steps to be followed when reporting suspected or actual cases of malpractice/maladministration, our responsibilities in dealing with such cases and the procedural steps we will follow when investigating any report.

## Review arrangements

We will review the procedure as part of our self-evaluation arrangements and revise it as necessary in response to customer and learner feedback, changes in our practices, requirements of the regulators or other external agencies, changes in legislation or trends identified from previous allegations. In addition, this procedure may be updated in light of operational feedback to ensure our arrangements for dealing with suspected cases of malpractice and maladministration remain effective.

If you would like to feed back any views please contact us via the details provided at the end of this procedure.

## Definitions

Malpractice is any deliberate activity, neglect, default or other practice that compromises the integrity of the assessment process and/or the validity of certificates.

For the purpose of this procedure this term also covers misconduct and forms of unnecessary discrimination or bias towards certain or groups of learners.

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.

## Process for making an allegation of malpractice or maladministration

Malpractice/maladministration may be discovered or suspected by centres, Morris Services Limited staff (in particular members of the external verification or exams monitoring teams) or by others involved in our qualifications, including learners. Anybody who identifies or is made aware of suspected or actual cases of malpractice or maladministration at any time must immediately report the information to Morris Services Limited. All such reports will be held in a central log which will be updated directly if Morris Services Limited staff discover or suspect malpractice or maladministration. Centres should report their findings or suspicions to Morris Services Limited by phone, email or letter which will then be logged. In order to fully investigate any report, as much as possible of the following information should be provided in writing:

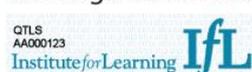
### Administration Office:

1st Floor Unit 18 Avondale Business Centre Woodland Way Kingswood, Bristol BS15 1AW

Tel: 01179610880 E: [enquiries@morrisservices.co.uk](mailto:enquiries@morrisservices.co.uk) [www.morrisservices.co.uk](http://www.morrisservices.co.uk)

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Centre's name, address and number learner's name and Morris Services Limited student number, Centre/Morris Services Limited personnel's details (name, job role) if they are involved in the case title and number of the Morris Services Limited course/qualification affected or nature of the service affected date(s) suspected or actual malpractice occurred full nature of the suspected or actual malpractice date of the report and the informant's name, position and signature. Depending upon the circumstances, Morris Services Limited may ask a centre to carry out an internal investigation and report back. However, the centre must report the potential malpractice or maladministration before doing so.

## Centres' responsibilities

It is important that all staff involved in the management, assessment and quality assurance of Morris Services Limited qualifications and all registered learners are fully aware of the contents of this procedure and that centres have arrangements in place to prevent and investigate instances of malpractice and maladministration. A failure to report suspected or actual malpractice/maladministration cases, or have in place effective arrangements to prevent such cases, may lead to sanctions being imposed on a centre.

If you wish to receive guidance/advice from us on how to prevent, investigate, and deal with malpractice and maladministration then please contact us (details below) and we will happily provide you with such advice and/or guidance. Centres' compliance with this procedure and how they take reasonable steps to prevent and/or investigate instances of malpractice and maladministration will be reviewed by Morris Services Limited periodically through our on-going centre monitoring arrangements. If a centre is asked by Morris Services to conduct an investigation into alleged malpractice or maladministration, the centre should: ensure that staff leading the investigation are independent of the staff/learners/function being investigated inform those who are suspected of malpractice that they are entitled to know the necessary details of the case and possible outcomes submit the findings of the investigation to us with your report. In all cases Morris Services Limited will protect the identity of the 'informant' in accordance with our duty of confidentiality and/or any other legal duty.

## Confidentiality and whistle blowing

Sometimes a person making an allegation of malpractice or maladministration may wish to remain anonymous. However, it is always preferable to reveal your identity and contact details to us, and if you are concerned about possible adverse consequences request us not to divulge your identity.

While we are prepared to investigate issues which are reported to us anonymously we shall always try to confirm an allegation by means of a separate investigation before taking up the matter with those to whom the allegation relates. At all times we will investigate such allegations from whistle-blowers in accordance with relevant whistle blowing legislation and in line with our current Whistle blowing Procedure.

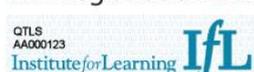
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## Responsibility for the investigation

All suspected cases of maladministration and/or malpractice will be examined in accordance with Morris Services Limited procedures and regulatory requirements. All reasonable steps will be taken to prevent an adverse effect from occurring.

After an initial investigation, those cases of malpractice and/or maladministration which are considered to be of a significant concern will be submitted to our Malpractice and Maladministration Panel to be reviewed within two working days. The Panel will be responsible for ensuring the investigation is carried out in a prompt and effective manner and in accordance with the procedures in this document. We will allocate a relevant member of staff (e.g. an External Verifier or member of our Exams monitoring team) to lead the investigation to establish whether or not the malpractice or maladministration has occurred by reviewing evidence received from external sources or gathered by Morris Services Limited. This may include a report from a centre on potential malpractice or maladministration that it has identified and been asked by Morris Services Limited to investigate. At all times we will ensure that Morris Services Limited personnel assigned to the investigation have the appropriate level of investigation training and competence and they have had no previous involvement or personal interest in the matter.

## Notifying relevant parties

Morris Services Limited will inform any appropriate regulator of any investigation into suspected or actual malpractice according to their requirements, where there is evidence that results or certificates may be invalid or where any other adverse effect could occur. Morris Services Limited agree the appropriate course of remedial action with the regulator and may in exceptional cases, the regulator may lead the investigation. Where Morris Services Limited believes the allegation may affect another awarding organisation, we will inform them in accordance with the regulatory requirements.

## Investigation timelines and process

Morris Services Limited aims to action and resolve all stages of the investigation within 20 working days of receipt of the allegation. Please note that in some cases the investigation may take longer; for example, if a centre visit is required. In such instances, we'll advise all parties concerned of the likely revised timescale.

The investigation may involve: a request for further information from the centre or Morris Services Limited personnel interviews (face to face or by telephone) with personnel involved in the investigation arranging for Morris Services Limited authorised personnel to carry out a centre visit. We expect all parties, who are either directly or indirectly involved in the investigation, to fully co-operate with us. Either at notification of a suspected or actual case of malpractice or maladministration and/or at any time during the investigation, we reserve the right to impose sanctions on the centre in accordance with our Sanctions Procedure in order to protect the interests of learners and the integrity of the qualifications.

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If the case is deemed to be of a serious nature we also reserve the right to withhold a learner's and/or cohort's results for all the Morris Services Limited qualifications and/or units they are registered for at the time of the notification or investigation of suspected or actual malpractice/ maladministration. Where a member of Morris Services Limited staff is under investigation we may suspend them or move them to other duties until the investigation is complete.

Throughout the investigation Morris Services Limited Malpractice and Maladministration Panel will be responsible for overseeing the work of the investigation team to ensure that due process is being followed, appropriate evidence has been gathered and reviewed and that relevant external parties have been kept informed.

## Investigation report

After an investigation, Morris Services Limited will produce a draft report for the parties concerned to check the factual accuracy. Any subsequent amendments will be agreed between the parties concerned and ourselves.

We shall make the final report available to the parties concerned and to the regulators and other external agencies as required. If it was an independent person or organisation that notified us of the suspected or actual case of malpractice, we shall also inform them of the outcome, normally within 10 working days of making our decision. In doing so we may withhold some details if to disclose such information would breach a duty of confidentiality or any other legal duty.

If there has been an internal investigation against a member of our staff the report will be agreed by senior management and HR and appropriate internal procedures will be applied.

## Investigation outcomes

If the investigation confirms that malpractice or maladministration has taken place we will set both the centre's risk category for the relevant qualifications and its overall risk category to red. The latter will be amended once it is clear that the malpractice or maladministration has not affected other qualifications. Morris Services Limited may also: impose actions for the centre with specified deadlines in order to address the instance of malpractice/maladministration and to prevent it from reoccurring; impose sanctions on the centre in accordance with our Sanctions Procedure; inform the centre of any invalid results or certificates, of the action to be taken for reassessment and/or certification and of the steps necessary to inform learners, return invalid certificates and amend centre records; amend aspects of our qualification assessment and/or monitoring arrangements and associated guidance to prevent the issue from recurring.

In proven cases of malpractice and/or maladministration by a centre Morris Services Limited reserves the right to charge the centre for any resits and reissuing of certificates and/or additional external verifier visits. The fees for this will be the current Morris Services Limited prices for such activities at the time of the investigation.

At the end of any investigation Morris Services Limited will review the issues raised, record any lessons learned from the investigation and update policies and procedures as necessary with the aim of preventing further maladministration or malpractice.

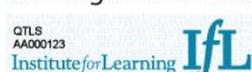
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If any party wishes to appeal any decision relating to action to be taken against a learner or centre following a malpractice or maladministration investigation, please refer to the awarding body Appeals Procedure.

Contact us:

If you have any queries about the contents of the procedure or wish to receive guidance/advice from Morris Services Limited on how to prevent malpractice or maladministration, please contact

[james.morris@morrisservices.co.uk](mailto:james.morris@morrisservices.co.uk)

Centre Director

Morris Services Limited

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