



BBE
TRAINING



A CITRUS GROUP
COMPANY

Malpractice & Maladministration Policy

BBE Training Limited

Malpractice and Maladministration Policy

1. Purpose of the Policy

BBE Training Limited is committed to maintaining the integrity, security and quality of all qualifications, assessments and associated activities delivered by the organisation.

The purpose of this policy is to ensure that any suspected or actual malpractice or maladministration involving learners, staff, tutors, assessors, invigilators, contractors or other individuals associated with BBE Training Limited is identified, reported, investigated and managed fairly, consistently and promptly. This policy is designed to protect learners, maintain the integrity of qualifications and assessments, and ensure compliance with the requirements of relevant awarding organisations, including the Association of Accounting Technicians (AAT).

2. Scope

This policy applies to:

- all learners registered with BBE Training Limited;
- tutors, trainers and assessors;
- internal quality assurance staff;
- invigilators and assessment staff;
- Student Support and administrative staff;
- the Head of Centre;
- the Quality Manager;
- contractors, consultants and third parties working on behalf of BBE Training Limited; and
- any other individual involved in the delivery, administration or assessment of qualifications.

The policy applies to classroom, online and remote learning and assessment activities.

3. Definition of Malpractice

Malpractice is any deliberate action, neglect, default or other practice that compromises, or could compromise:

- the integrity or validity of an assessment;
- the assessment process;
- the validity of a qualification or result;
- the reputation or credibility of BBE Training Limited or an awarding organisation; or
- compliance with awarding organisation requirements.

Malpractice may be committed by a learner, member of staff, tutor, assessor, invigilator, contractor or another person involved in qualification delivery or assessment.

4. Examples of Malpractice

Examples of learner malpractice may include, but are not limited to:

- cheating during an examination or assessment;
- plagiarism or presenting another person's work as their own;
- collusion with another learner;
- copying or attempting to copy another learner's work;
- allowing another learner to copy work;

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- impersonating another learner or arranging for another person to complete an assessment;
- falsifying evidence, signatures, records or documents;
- submitting work that has been purchased or obtained from another person;
- unauthorised use of artificial intelligence to generate assessment evidence where this is prohibited;
- using unauthorised materials, notes, electronic devices or other resources during an assessment;
- communicating with another person during a controlled assessment where this is prohibited;
- obtaining or attempting to obtain confidential assessment materials;
- sharing secure or confidential assessment content;
- providing false information when requesting reasonable adjustments or special consideration; and
- any deliberate action intended to gain an unfair advantage.

Examples of staff or centre malpractice may include:

- knowingly allowing a learner to gain an unfair advantage;
- providing inappropriate assistance to a learner during an assessment;
- altering learner work after submission;
- falsifying assessment, attendance, registration or achievement records;
- falsifying learner evidence;
- allowing assessments to take place contrary to awarding organisation requirements;
- inappropriate disclosure of confidential assessment materials;
- failing to maintain the security of assessment materials;
- knowingly making incorrect certification or achievement claims;
- registering learners for qualifications without appropriate evidence or authority;
- falsifying reasonable adjustment or special consideration evidence;
- applying an unauthorised reasonable adjustment;
- deliberately failing to follow awarding organisation assessment requirements; and
- attempting to conceal malpractice or maladministration.

5. Definition of Maladministration

Maladministration is generally an act, omission, mistake or failure to follow required administrative procedures or awarding organisation requirements.

Unlike malpractice, maladministration will not necessarily involve a deliberate intention to gain an advantage. However, repeated, reckless or serious maladministration may amount to malpractice.

6. Examples of Maladministration

Examples may include:

- failure to follow learner registration procedures;
- registering a learner for the wrong qualification or unit;
- inaccurate or incomplete learner records;
- failure to maintain appropriate assessment records;
- failure to register learners within required timescales;
- incorrect assessment scheduling;
- administrative errors affecting assessment arrangements;
- failure to follow invigilation requirements;

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- failure to maintain required documentation;
- failure to retain evidence for the required period;
- incorrect certification claims;
- failure to correctly implement approved reasonable adjustments;
- failure to report delegated reasonable adjustments where required;
- failure to maintain appropriate records of reasonable adjustments and special consideration;
- failure to respond to awarding organisation requests within specified timescales; and
- repeated failure to follow BBE Training Limited or awarding organisation procedures.

7. Prevention of Malpractice and Maladministration

BBE Training Limited will take reasonable steps to prevent malpractice and maladministration.

Preventative measures include:

- ensuring staff understand awarding organisation requirements;
- providing appropriate induction and training for tutors, assessors, invigilators and administrative staff;
- maintaining clear policies and procedures;
- providing learners with information about assessment rules and academic integrity;
- confirming learner identity where required;
- maintaining secure systems for learner information and assessment records;
- restricting access to confidential assessment materials;
- undertaking internal quality assurance and sampling;
- monitoring assessment and administrative activities;
- maintaining accurate learner registration and achievement records;
- carrying out checks on submitted assessment evidence where appropriate;
- maintaining appropriate arrangements for reasonable adjustments and special consideration; and
- reviewing incidents, complaints and quality assurance findings to identify recurring risks.

8. Identification and Reporting of Suspected Incidents

All staff have a responsibility to report suspected malpractice or maladministration.

Any member of staff who identifies or suspects an incident must report it to the **Quality Manager and/or Head of Centre immediately**.

Learners may report concerns to their tutor, Student Support, the Quality Manager or Head of Centre.

Reports should contain, where available:

- the name of the learner or person involved;
- qualification and unit/assessment details;
- date and time of the alleged incident;
- description of what occurred;
- names of witnesses;
- relevant documentation or evidence; and
- details of any immediate action already taken.

No individual should attempt to conceal, destroy or alter evidence relating to a suspected incident.

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9. Immediate Action

Where an incident occurs during a controlled assessment or examination, the invigilator or responsible member of staff must take appropriate action to protect the integrity of the assessment.

This may include:

- recording the time and nature of the incident;
- securing unauthorised materials;
- removing prohibited equipment;
- recording details of witnesses;
- preserving assessment evidence;
- preventing further access to secure materials; and
- where necessary, removing an individual from the assessment environment.

Action must be proportionate and should, wherever possible, avoid unnecessarily disrupting other learners.

10. Reporting Incidents to AAT

Where an incident relates to an AAT qualification or assessment, BBE Training Limited will comply with AAT's current malpractice and maladministration reporting requirements.

Suspected malpractice or maladministration that could affect the integrity of an AAT assessment or qualification must be reported to AAT promptly.

Where malpractice or maladministration is identified during an AAT assessment, the member of staff must record the time, nature and circumstances of the incident and immediately notify the Quality Manager or Head of Centre.

The Quality Manager or Head of Centre will ensure that the matter is reported to AAT at:

aatquality.assurance@aat.org.uk

Where AAT requires same-day notification, BBE Training Limited will ensure that the report is submitted on the same working day.

The initial report should include as much relevant information as is available, including:

- BBE Training Limited's details;
- learner name and AAT registration details where applicable;
- qualification and assessment concerned;
- date and location of the incident;
- individuals involved;
- description of the suspected malpractice or maladministration;
- immediate action taken;
- evidence available;
- names of relevant witnesses; and
- contact details of the person managing the incident on behalf of BBE Training Limited.

BBE Training Limited will cooperate fully with any subsequent AAT investigation and provide documentation, statements, assessment records, CCTV or other relevant evidence where lawfully held and requested.

11. Responsibility for Managing Incidents

The **Quality Manager** will normally have responsibility for coordinating an internal investigation.

The **Head of Centre** will have overall responsibility for ensuring that the organisation complies with awarding organisation requirements and that appropriate action is taken.

Depending upon the circumstances, an investigation may involve:

- Head of Centre;

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- Quality Manager;
- Internal Quality Assurer;
- relevant tutor or assessor;
- invigilator;
- Student Support staff;
- IT or administrative personnel; and
- any relevant awarding organisation.

No person who is directly implicated in an allegation should be responsible for determining the outcome of the investigation.

Where the Quality Manager is implicated, the investigation will be managed by the Head of Centre or another suitably independent senior person.

Where the Head of Centre is implicated, responsibility will be allocated to an appropriately senior and independent individual and the relevant awarding organisation will be informed.

12. Investigation Process

When a potential incident is identified, BBE Training Limited will:

Stage 1 – Initial Review

The Quality Manager or Head of Centre will establish the basic facts and determine whether the matter constitutes potential malpractice, maladministration or another issue.

Stage 2 – Secure Evidence

All relevant evidence will be identified and protected. This may include:

- learner work;
- assessment records;
- emails and correspondence;
- Moodle records;
- registration information;
- invigilation records;
- witness statements;
- electronic records; and
- other relevant documentation.

Stage 3 – Notify the Awarding Organisation

Where required, the relevant awarding organisation will be notified within its specified reporting timescale.

Stage 4 – Formal Investigation

Relevant individuals may be interviewed and asked to provide written statements. Individuals against whom allegations have been made will be given a reasonable opportunity to respond.

Stage 5 – Findings

The investigator will consider the evidence and determine, on the balance of probabilities, whether malpractice or maladministration has occurred.

Stage 6 – Outcome

The findings will be documented and appropriate actions and sanctions determined. Where the awarding organisation is responsible for determining the outcome, BBE Training Limited will await and implement its decision.

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13. Timescales

BBE Training Limited will deal with suspected incidents promptly.

As an internal standard:

- suspected incidents should be reported internally **immediately and normally within one working day of discovery**;
- immediate risks to assessment integrity will be addressed at once;
- an initial review should normally commence within **two working days**;
- the relevant awarding organisation will be notified within its required timescale;
- AAT assessment incidents requiring same-day notification will be reported **on the day of the incident**;
- the internal investigation should normally be completed within **20 working days**; and
- the individual concerned should normally be informed of the outcome within **five working days** of the investigation being concluded.

Where an investigation cannot be completed within 20 working days because of complexity, staff absence, external investigation or awaiting information from an awarding organisation, the parties concerned will be informed of the delay and, where possible, given a revised timescale.

Awarding organisation reporting requirements will take precedence over BBE Training Limited's internal timescales.

14. Confidentiality

Investigations will be handled sensitively and information will only be shared with individuals who have a legitimate need to know.

Information may be disclosed to an awarding organisation, regulator, law enforcement agency or other competent authority where BBE Training Limited is required or permitted to do so.
All investigation records will be stored securely in accordance with the organisation's data protection and document retention arrangements.

15. Actions and Sanctions

Sanctions will be proportionate to the seriousness of the incident, whether it was deliberate, the impact upon assessment integrity, previous incidents and any mitigating circumstances.

Learner sanctions may include:

- verbal or written warning;
- requirement to resubmit work;
- rejection of assessment evidence;
- assessment attempt being declared invalid;
- requirement to retake an assessment;
- suspension of access to Moodle or other learning systems;
- temporary suspension from the qualification;
- withdrawal from the qualification;
- removal from BBE Training Limited;
- withholding of certification where permitted;
- referral to the relevant awarding organisation; and
- any sanction imposed by the awarding organisation.

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Serious cases involving fraud, theft, impersonation, falsification or other potentially criminal behaviour may also be referred to the appropriate authorities.

Staff sanctions may include:

- additional training or supervision;
- formal written warning;
- increased internal quality assurance or monitoring;
- removal from particular assessment or invigilation duties;
- suspension from qualification delivery;
- disciplinary action under BBE Training Limited's employment procedures;
- dismissal in cases of serious misconduct;
- referral to the relevant awarding organisation; and
- referral to another relevant professional, regulatory or statutory body where appropriate.

Organisational corrective actions may include:

- correction of learner records;
- review or reassessment of affected learners;
- additional sampling or internal quality assurance;
- retraining staff;
- amendments to procedures;
- increased monitoring;
- changes to assessment arrangements;
- review of system access and security controls; and
- implementation of an improvement or corrective action plan.

16. AAT Sanctions and Outcomes

BBE Training Limited recognises that AAT may conduct its own investigation into suspected malpractice or maladministration and may impose sanctions independently of any action taken by BBE Training Limited.

Depending on the seriousness of an incident, consequences may include an assessment result being declared null and void, sanctions against individuals or the centre, restrictions on assessment activity, or withdrawal of approval.

BBE Training Limited will cooperate fully with AAT and implement any actions or sanctions required as a result of an AAT investigation.

17. Appeals

Where an individual disagrees with a decision made by BBE Training Limited, they may appeal in accordance with the organisation's Appeals Policy.

An appeal must identify the grounds upon which the decision is being challenged and should normally be submitted within the timescale specified in the Appeals Policy.

Where a decision or sanction has been imposed directly by an awarding organisation, any appeal must follow that awarding organisation's appeals procedure.

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18. Whistleblowing

Staff and learners should raise genuine concerns about suspected malpractice or maladministration without fear of disadvantage for doing so in good faith.

Where an individual believes that the normal reporting route is inappropriate because the Head of Centre, Quality Manager or another senior member of staff may be involved, the concern may be raised through BBE Training Limited's whistleblowing arrangements or directly with the relevant awarding organisation where appropriate.

19. Record Keeping

BBE Training Limited will maintain records of:

- allegations received;
- evidence gathered;
- correspondence;
- interviews and statements;
- investigation findings;
- awarding organisation notifications;
- decisions;
- sanctions;
- appeals; and
- corrective actions.

Records will be retained securely in accordance with applicable awarding organisation, regulatory and data protection requirements.

20. Monitoring and Continuous Improvement

Following an incident, the Quality Manager and Head of Centre will consider whether changes are required to prevent recurrence.

This may include reviewing:

- policies and procedures;
- staff training;
- assessment controls;
- learner guidance;
- internal quality assurance arrangements;
- administrative processes;
- IT and information security; and
- risk assessments.

Trends in malpractice and maladministration will be monitored and recurring issues will be addressed through the organisation's quality improvement processes.

21. Policy Review

This policy will be reviewed annually, or earlier where:

- AAT or another awarding organisation changes its requirements;

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- legislation or regulatory requirements change;
- an incident identifies a weakness in existing procedures;
- an awarding organisation or regulator requires amendments; or
- internal quality assurance identifies a need for improvement.

The Head of Centre and Quality Manager are responsible for ensuring that the policy remains current, effective and appropriately communicated to staff and learners.

Last Review Sept 2026
Next Review June 2027

