



ESTAR

ELITE SKILLS, TRAINING
& RECRUITMENT

CP-013

**Malpractice and
Maladministration
Policy and Procedure**

REV: 00



Malpractice and Maladministration Policy and Procedure

Form: CP-013

Revision: 00

Policy owner: Head of Quality & Compliance

Operational leads: Senior Leadership Team (SLT), Lead IQA, Exams Officer, Programme Managers

Applies to: All learners, apprentices, staff, associates, subcontractors, employers and partners

Provision: Funded and non-funded delivery (including apprenticeships and adult skills)

Review cycle: Annual, or earlier if regulatory/awarding requirements change

Version: 00

1. Purpose

ESTAR Education is committed to maintaining the **integrity, credibility and fairness** of all learning, assessment and quality assurance activities. This policy sets out how ESTAR **prevents, identifies, investigates and manages** malpractice and maladministration to protect learners, staff, awarding standards and public funding.

The policy ensures:

- assessment decisions are valid and reliable;
- qualifications and outcomes are credible;
- funding and reporting are accurate; and
- regulatory, awarding body and inspection requirements are met.

2. Scope

This policy applies to all activities related to:

- teaching, learning and assessment;
- examinations and invigilation;
- internal quality assurance (IQA);
- End-Point Assessment (EPA) support activities (where ESTAR is the training provider);
- learner identification and data management;
- funding claims, ILR submissions and audit evidence;
- subcontracted provision where ESTAR is the lead provider.

3. Definitions

- **Malpractice:** Any deliberate act, omission or negligence that compromises the integrity of assessment, certification, funding, data or quality processes.
- **Maladministration:** Any unintentional failure to follow procedures correctly, resulting in risk to standards, compliance or accuracy.

Both may involve learners, staff or organisations working with ESTAR.

4. Principles

ESTAR's approach is based on:

- **Prevention** – clear policies, training and controls;
- **Fairness** – impartial investigation and proportionate outcomes;
- **Transparency** – clear documentation and communication;
- **Integrity** – protection of assessment and funding standards;
- **Compliance** – alignment with awarding body, ESFA and inspection expectations.

5. Examples of malpractice and maladministration



5.1 Learner malpractice (examples)

- cheating or attempted cheating;
- plagiarism or collusion;
- use of unauthorised materials or devices;
- impersonation or identity fraud;
- falsification of evidence or logbooks;
- disruptive behaviour during assessments.

5.2 Staff or associate malpractice (examples)

- assisting learners inappropriately during assessment;
- falsifying assessment or IQA records;
- failing to declare conflicts of interest;
- breaching examination or invigilation rules;
- inappropriate influence on assessment outcomes;
- misrepresentation of learner progress or competence.

5.3 Maladministration (examples)

- incorrect assessment or registration procedures;
- failure to apply approved reasonable adjustments correctly;
- errors in exam administration or invigilation;
- inaccurate learner records or data submissions;
- failure to follow internal or awarding body procedures.

6. Roles and responsibilities

6.1 All staff and associates

- Act with integrity and professionalism.
- Follow all relevant policies and procedures.
- Report suspected malpractice or maladministration immediately.

6.2 Learners and apprentices

- Act honestly and responsibly in learning and assessment.
- Follow assessment and examination rules.

6.3 Lead IQA / Exams Officer

- Identify risks through monitoring and sampling.
- Escalate concerns promptly.
- Support investigations with evidence and records.

6.4 Head of Quality & Compliance

- Oversees investigations and decision-making.
- Determines outcomes and corrective actions.
- Liaises with awarding organisations, EPAOs or funders where required.
- Ensures records are complete and auditable.

6.5 Senior Leadership Team

- Provides oversight for serious or systemic issues.
- Ensures appropriate corrective and preventive actions.

7. Reporting concerns



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Suspected malpractice or maladministration may be reported by:

- staff, learners or employers;
- IQA findings;
- examination incidents;
- audits or data checks.

Concerns should be reported immediately to the Head of Quality & Compliance or via a manager. Safeguarding concerns must follow safeguarding procedures.

8. Investigation procedure

8.1 Initial review

- The concern is logged and risk assessed.
- Immediate actions may be taken to protect assessment integrity (e.g. suspension of assessment activity).

8.2 Formal investigation

- Evidence is gathered (records, statements, assessment evidence, system logs).
- Individuals involved may be interviewed.
- Investigations are conducted impartially and confidentially.

8.3 Decision

- A determination is made on whether malpractice or maladministration has occurred.
- Decisions are based on evidence and procedural fairness.

9. Outcomes and actions

Outcomes may include (as appropriate):

- no further action (where allegations are unfounded);
- corrective training or guidance;
- reassessment or remarking;
- removal from assessment or quality roles;
- disciplinary action (for staff);
- learner sanctions in line with learner disciplinary procedures;
- reporting to awarding organisations, EPAOs or funders;
- withdrawal or correction of certification or claims where required.

Actions will be proportionate to the severity and impact of the issue.

10. External reporting

Where required, ESTAR will report malpractice or maladministration to:

- awarding organisations;
- End-Point Assessment Organisations (EPAOs);
- funding bodies or regulators.

ESTAR will cooperate fully with external investigations.

11. Appeals

Individuals subject to sanctions may request a review in line with:

- the **Enquiries and Appeals Policy for Learners** (learners); or
- internal HR or governance procedures (staff).



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12. Record keeping

ESTAR maintains secure records of:

- allegations and reports;
- investigation evidence and findings;
- decisions and actions taken;
- communications with external bodies.

Records are retained in line with the **Document Retention and Secure Storage Policy**.

13. Training and prevention

ESTAR reduces risk through:

- staff induction and ongoing training;
- standardisation and IQA activity;
- clear assessment and exam guidance;
- regular review of systems and controls.

14. Confidentiality and data protection

All matters are handled confidentially and in line with ESTAR's **Data Protection Policy**. Information is shared only on a need-to-know basis.

15. Monitoring and review

This policy is monitored through:

- IQA findings;
- audit outcomes;
- complaints, appeals and incident analysis.

The policy is reviewed:

- annually; and
- following significant incidents or regulatory changes.

Date of last Review	Print Name	Position
02/02/2026	Keiran Casey	Chief Executive Officer
	Darren Beach	Quality Manager