



Malpractice and Maladministration Policy

V2026



1. Malpractice and Maladministration Policy

a. Scope and Purpose

This policy applies to DOMAX Ltd, including its staff, tutors, and clients, such as learners who are either delivering or enrolled in a DOMAX-approved qualification. It addresses both suspected and actual cases of malpractice and maladministration. The policy ensures that all investigations into malpractice and maladministration are conducted consistently across the organization.

b. Reporting and Responsibilities

The policy outlines the procedures that learners and staff must follow when reporting instances of suspected or actual malpractice and maladministration. It also delineates DOMAX's responsibilities in managing these cases and describes the procedural steps DOMAX will undertake when evaluating the incidents.

2. Centre's Responsibilities

a. Awareness and Prevention

It is essential that staff involved in the management, assessment, and quality assurance of DOMAX qualifications, as well as the learners, are fully informed about this policy. The Satellite Centre must have effective measures in place to prevent and address any instances of malpractice and maladministration.

3. Policy Review and Updates

a. Annual Review

DOMAX will conduct a bi-annual review of this policy as part of our self-evaluation process. Revisions will be made as necessary based on feedback from customers and learners, updates in DOMAX practices, recommendations from regulatory authorities or external agencies, legislative changes, or trends observed from previous cases.

b. Ongoing Updates

In addition to the annual review, the policy may be updated periodically to reflect operational feedback, ensuring that DOMAX's procedures for handling suspected malpractice and maladministration remain effective and relevant.

4. Definition of Malpractice

a. Overview

Malpractice encompasses any deliberate activity or practice that breaches regulations and undermines the integrity of either internal or external assessment processes and/or the validity of certificates. This includes any intentional acts, negligence, defaults, or other actions that may undermine, or potentially undermine, the following:

- i. The assessment process
 - ii. The integrity of a regulated qualification
 - iii. The validity of a result or certificate
 - iv. The reputation and credibility of DOMAX
 - v. The qualification or the broader qualification community
- b. Scope

Malpractice can range from failing to maintain proper records or systems to the intentional falsification of records to obtain certificates fraudulently.

c. Additional Considerations

For the purposes of this policy, malpractice also includes misconduct and any forms of unnecessary discrimination or bias against specific groups of learners.

5. Definition of Maladministration

a. Overview

Maladministration refers to any activity or practice that results in non-compliance with administrative regulations and requirements. It involves the occurrence of persistent mistakes or poor administrative practices within a Satellite Centre (e.g., inadequate learner records).

6. Examples of Maladministration

a. Examples

The following are examples of maladministration affecting centres and learners. This list is not exhaustive but provides guidance on what constitutes maladministration according to DOMAX:

- i. Repeated failure to follow DOMAX procedures for learner registration and certification
- ii. Persistent non-compliance with Satellite Centre recognition or qualification requirements, including associated actions assigned to the Centre
- iii. Delays in learner registrations, whether occasional or frequent
- iv. Unjustified delays in responding to requests or communications from DOMAX
- v. Incorrect claims for certificates
- vi. Failure to maintain accurate, auditable records, such as certification claims, or falsification of evidence
- vii. Deliberate withholding of information from DOMAX, whether through omission or action, that is necessary for verifying the Satellite Centre's capability to deliver qualifications appropriately

7. Examples of Malpractice

a. Overview



The following categories illustrate examples of malpractice that may occur at both the Centre and learner levels. This list is intended to guide the understanding of what constitutes malpractice and is not exhaustive:

i. Non-Compliance with Internal Procedures

Failure to conduct internal assessments, moderation, or verification according to DOMAX's requirements.

ii. Failure to Follow Registration Procedures

Deliberate non-compliance with DOMAX's learner registration and certification procedures.

iii. Non-Adherence to Recognition Requirements

Persistent failure to comply with DOMAX Satellite Centre recognition or qualification approval requirements, including any associated actions.

iv. Record-Keeping Violations

Deliberate failure to maintain accurate auditable records, such as falsifying certification claims or evidence.

v. Misuse of Examination-Related Information

Exchanging, obtaining, or attempting to share examination-related information.

vi. False Declarations of Authorship

Making false claims regarding the authorship of coursework or the contents of a portfolio.

vii. Improper Assistance with Coursework

Allowing others to assist with the production of coursework or assisting others in creating coursework.

viii. Misuse of Examination Materials

Misusing or attempting to misuse examination materials and resources, such as exemplar materials.

ix. Possession of Confidential Material

Being in possession of confidential examination materials prior to the examination.

x. Impersonation

Pretending to be someone else or having someone else impersonate you during an assessment.

xi. Use of Unauthorized Materials

Using unauthorized materials during examinations, such as study guides.

xii. Undermining Examination Integrity

Engaging in behaviour that compromises the integrity of the examination process.

xiii. Tampering with Results Documentation

Altering results documentation, including certificates.



xiv. Non-Compliance with Examiner Instructions

Failing to follow the instructions or advice provided by an examiner.

xv. Fraudulent Certification Claims

Making fraudulent claims for certificates.

xvi. Collusion in Assessments

Engaging in or allowing collusion during exams or assessments.

xvii. Certification Claims for Incomplete Work

Submitting certification claims for learners who are still working towards their qualification.

xviii. Persistent Maladministration

Repeated instances of maladministration within the Satellite Centre.

xix. Contravention of Assessment Arrangements

Deliberately breaching the assessment arrangements specified for DOMAX qualifications by a Satellite Centre or its learners.

xx. Loss or Theft of Assessment Materials

Loss, theft, or breach of confidentiality concerning any assessment materials.

xxi. Plagiarism

Instances of plagiarism by learners or staff that violate DOMAX's plagiarism policy.

xxii. Copying from Other Candidates

Copying from another candidate, including using ICT to facilitate this.

xxiii. Assuming Another Candidate's Identity

Assuming another candidate's identity or allowing someone else to assume your identity during an assessment.

8. Process for Reporting Malpractice or Maladministration

a. Notification

Anyone who becomes aware of suspected or actual cases of malpractice or maladministration must promptly inform the Internal Quality Assurer and submit a completed Malpractice and Maladministration Report Form. This should be done in writing or via email and should include relevant supporting evidence.

b. Required Information

When making an allegation, the following details should be included, where possible:

- i. The learner's name and DOMAX registration number
- ii. The name and role of the DOMAX staff member involved, if applicable
- iii. Information about the affected course or qualification, or the nature of the affected service
- iv. A detailed description of the suspected or actual malpractice, including dates, details of any



initial investigation carried out by the Centre or other parties involved, and any relevant mitigating circumstances

c. Initial Investigation

The Internal Quality Assurer will conduct an initial investigation to ensure that those involved are competent and have no personal interest in the outcome of the investigation.

d. Confidentiality

DOMAX will maintain the confidentiality of the person reporting the malpractice or maladministration, in accordance with confidentiality obligations and data protection laws.

9. Confidentiality and Whistleblowing

a. Anonymity

Individuals who report allegations of malpractice or maladministration may choose to remain anonymous if they have concerns about potential negative repercussions. While it is preferable for reporters to provide their identity and contact information, the Internal Quality Assurer can accommodate requests for anonymity upon the individual's request.

b. Anonymous Reporting

DOMAX is prepared to investigate issues reported anonymously; however, we will make efforts to verify the allegation through a separate investigation before addressing the matter with the involved parties.

10. Responsibility for the Investigation

a. Prompt Examination

In compliance with regulatory requirements, DOMAX will promptly review all suspected cases of malpractice and maladministration to determine whether such occurrences have taken place. We will take all reasonable steps to mitigate any adverse effects resulting from these issues.

b. Acknowledgment of Receipt

DOMAX will acknowledge receipt of reports to external parties within 48 hours, as appropriate.

c. Investigation Oversight

The Internal Quality Assurer is responsible for overseeing the investigation, ensuring it is conducted promptly and effectively in line with this policy. They will assign a qualified staff member to lead the investigation, assess whether malpractice or maladministration has occurred, and review any supporting evidence provided or collected by DOMAX.



11. Notifying Relevant Parties

a. Regulatory Authorities

If an incident of malpractice or maladministration is identified that could impact the validity of a qualification or affect another awarding organization, the Internal Quality Assurer will inform the relevant regulatory authorities.

b. Affected Organizations

In cases where the allegation might impact another awarding organization, DOMAX will notify them in accordance with regulatory requirements. If the details of potentially affected organizations are not known, we will seek assistance from the regulatory body to identify and inform the relevant parties.

12. Investigation Timelines and Summary Process

a. Resolution Timeline

DOMAX aims to complete and resolve all stages of an investigation within 10-20 working days from the receipt of the allegation.

b. Investigation Objectives

All investigations will be conducted fairly, reasonably, and legally, ensuring impartiality and thorough consideration of all relevant evidence. The key objectives of the investigation are:

- i. To ascertain the facts related to the allegations or complaints to determine if irregularities have occurred.
- ii. To identify the causes of the irregularities and the individuals involved.
- iii. To evaluate the extent of the irregularities.
- iv. To review any actions already taken in response to the issues.
- v. To decide whether further remedial action is needed to mitigate risks to current learners and to uphold the integrity of DOMAX Ltd and its qualifications.
- vi. To detect any adverse patterns or trends.

c. Investigation Procedures

The investigation may require requesting additional information from relevant parties or conducting interviews. As such:

- i. All materials collected during the investigation will be securely stored.
- ii. If the investigation leads to certificate invalidation or criminal or civil proceedings, all related records and original documents will be retained until the case and any appeals are concluded, and for an additional five years thereafter.
- iii. We expect full cooperation from all individuals directly or indirectly involved in the investigation.
- iv. DOMAX reserves the right to withhold results for a learner or a cohort upon notification of



a suspected or actual case of malpractice or maladministration and throughout the investigation.

d. Staff or Associate Suspension

If a DOMAX staff member or associate is under investigation, they may be suspended or reassigned to other duties until the investigation is completed.

e. Oversight and Liaison

The Internal Quality Assurer will oversee the investigation, ensuring due process is followed, evidence is appropriately gathered and reviewed, and relevant external parties are kept informed.

13. Investigation Report

a. Draft Report and Accuracy

Upon completion of an investigation, a draft report will be prepared and shared with the relevant parties to verify its factual accuracy. Any necessary amendments will be agreed upon between the parties involved and DOMAX. The report will:

- i. Identify the location and nature of the breach, if one occurred.
- ii. Confirm the facts of the case.
- iii. Identify the individuals or parties responsible for the breach, if applicable.
- iv. Recommend appropriate remedial actions to address the breach.

b. Final Report Distribution

The final report will be made available to the relevant parties, regulatory authorities, and other external agencies as required.

c. Notification to Third Parties

If an independent or third party reported the suspected or actual malpractice, we will inform them of the outcome of the investigation, typically within 10 working days of reaching a decision. Some details may be withheld if disclosing them would breach confidentiality or other legal obligations.

d. Internal Investigations

For investigations involving a DOMAX staff member, the report will be reviewed and approved by the Head of Institution and relevant internal managers. Appropriate internal disciplinary actions will be implemented based on the findings.

14. Investigation Outcomes

a. Action Considerations

If the investigation confirms that malpractice or maladministration has occurred, the following actions will be considered to:

- i. Minimize the risk to the integrity of certification both currently and in the future.
- ii. Maintain public trust in the delivery and awarding of qualifications.
- iii. Deter others from engaging in similar malpractice or maladministration.
- iv. Ensure no benefits have been gained from compromising our standards.

b. Potential Actions

The actions taken may include:

- i. Implementing measures to address the specific instance of malpractice or maladministration and prevent recurrence.
- ii. Notifying the relevant awarding organization and regulatory authorities if certificates are deemed invalid, explaining the reasons for invalidation, and outlining actions for reassessment or certificate withdrawal. Affected learners will be informed, and where possible, requested to return invalid certificates to DOMAX Ltd.
- iii. Informing relevant third parties, such as funding bodies, of our findings if their involvement is necessary for appropriate action related to the Centre.

c. Lessons Learned

The Internal Quality Assurer will document any lessons learned from the investigation and communicate these to relevant internal colleagues to help prevent similar instances of malpractice or maladministration in the future.

Malpractice Form

Incident Information

Date(s) of Incident:	
Time(s) of Incident	
Qualification, unit or specification code:	
Learner Name(s) Batch Number(s)	
Name(s) and role(s) of invigilator(s)/assessment personnel or other witness/witnesses	

Individual(s) who gathered evidence

Name	
Role	
Reason why suitable to gather evidence (e.g. experienced senior leader):	
Has evidence been gathered based on the Malpractice and Maladministration Policy guidelines?	
Does the individual proposed to gather evidence have any known conflicts of interest or personal interest in the outcome of the investigation?	

Details

We'd like to understand what happened so that we can make sure we involve the appropriate Domax personnel who will carry out an initial fact find. Please provide details of the full nature of the alleged or actual maladministration or malpractice, including any mitigating circumstances and the contents and outcome of any investigation carried out by personnel, e.g. the centre or yourself, relating to the issue.

Details of the nature of the suspected or actual maladministration and / or malpractice, including details of how it was identified, by whom and when; and any evidence obtained

Supporting Evidence

Please indicate below the supporting evidence submitted with this report. All relevant information and materials must be submitted at this time. Evidence submitted subsequently may not be considered. Evidence submitted with this form

- Statement from Course teacher
- Statement from Invigilator
- Statement from other members of staff
- Statement from Learner
- Assessment and Internal Verification or Moderation
- Copies of sources of plagiarised material
- Statement from employer



- Records
- Other relevant documentation



References

1. CIPFA. (n.d.). *Malpractice and Maladministration Policy and Process Relating to Accredited Training Providers (ATPs) and ATP Staff Delivering CIPFA Qualifications and Apprenticeships*.
2. Highfield. (2019). *Malpractice and Maladministration Policy*.
3. ESB UK POL-05 (2020) Malpractice and Maladministration Policy



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