

Malpractice and Maladministration Policy

1. Introduction

ESS Ltd is committed to maintaining the highest standards of integrity, fairness, and transparency in all aspects of our operations, including training and assessment processes.

This Malpractice and Maladministration Policy outlines our approach to preventing and addressing any instances of malpractice or maladministration within our organisation.

2. Definitions

- Malpractice: Any deliberate or negligent act that compromises the integrity, validity, or reliability of the training and assessment process or breaches the rules and regulations set by relevant awarding bodies or regulatory authorities.
- Maladministration: Any administrative or organisational failures that may result in unfairness, irregularities, or compromise the quality of the training and assessment process.

3. Prevention of Malpractice and Maladministration

- We will implement rigorous processes and procedures to prevent instances of malpractice and maladministration.
- Trainers, assessors, and staff members will receive appropriate training and guidance on their roles and responsibilities, ethical conduct, and the consequences of malpractice and maladministration.
- Clear guidelines and policies will be communicated to all stakeholders involved in the training and assessment process to ensure compliance with the relevant awarding bodies' rules and regulations.
- Regular monitoring and internal verification processes will be in place to identify and rectify any potential issues related to malpractice and maladministration.

4. Reporting and Investigating Malpractice and Maladministration

- Any individual who suspects or witnesses malpractice or maladministration is encouraged to report it immediately to Lorna McBreen, CEO.
- Complaints and reports will be treated confidentially and handled with the utmost seriousness.
- A thorough investigation will be conducted by an assigned investigator who has no prior involvement in the matter.



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- Investigations will be carried out impartially, ensuring all parties involved have an opportunity to present their perspectives and provide supporting evidence.
- The investigation will be completed within a reasonable timeframe, and a written report detailing the findings will be prepared.

5. Disciplinary Measures and Corrective Actions

- If malpractice or maladministration is substantiated through the investigation, appropriate disciplinary measures will be implemented, which may include, but are not limited to, warnings, retraining, suspension, termination of employment, and legal action if necessary.
- In cases of maladministration, corrective actions will be taken to rectify any identified issues, improve processes, and prevent reoccurrence.
- The findings and outcomes of the investigation, as well as any disciplinary or corrective actions taken, will be communicated to the relevant parties in a timely and confidential manner.

6. Reporting to Awarding Bodies and Regulatory Authorities

- ESS Ltd will comply with all reporting obligations to relevant awarding bodies and regulatory authorities in cases of substantiated malpractice or maladministration.
- We will provide full cooperation and assistance to the awarding bodies and regulatory authorities during any investigations or audits related to malpractice or maladministration.

7. Awareness and Training

- We will ensure that all relevant stakeholders are aware of this policy and their responsibilities in preventing and reporting instances of malpractice and maladministration.
- Regular training and refresher sessions will be provided to raise awareness of the risks, consequences, and prevention strategies related to malpractice and maladministration.

8. Review and Improvement

- This Malpractice and Maladministration Policy will be reviewed periodically to ensure its effectiveness and compliance with relevant regulations and awarding body requirements.
- Any necessary updates or revisions will be made to address emerging risks and reflect best practices in the field.



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9. Communication

- This policy will be communicated through our website.
- We will provide support and guidance to ensure a clear understanding of this policy and the importance of maintaining the highest standards of integrity in all aspects of our operations.

At ESS Ltd, we are dedicated to upholding the integrity and fairness of our training and assessment processes. This Malpractice and Maladministration Policy outlines our commitment to preventing, detecting, and addressing any instances of malpractice and maladministration within our organisation. By implementing robust procedures and maintaining a culture of ethical conduct, we aim to provide high-quality training and assessments that are reliable, valid, and credible.

Lorna McBreen

Lorna McBreen, CEO

12.07.2023

Date