

	URS Training Services LLC	Doc. No.: URS/P/01
	PROCEDURE FOR COMPLAINT/APPEAL/ MALPRACTICE/MALADMINISTRATION	Issue Date: 1 st Jun. 2020
		Rev. No.: 01

1. PURPOSE:

To provide a mechanism to identify and address Delegates complaints in a timely and efficient manner

2. SCOPE:

Complaints received from Participants and their resolution.

3. PROCEDURE:

Sr. No.	Activity	Responsibility	Ref. Doc.
1.	Complaint or Appeal Registration:		
1.1	Complaint or Appeal will be received by Course Manager through mail/website/feedback form etc. and it is registered in Complaint/Appeal Register.	Course Manager	URS/P/01/F01
1.2	Delegates feedback/complaint or appeal is acknowledged within 24 hours and logged in Delegates Complaint/Appeal register.	Course Manager	
1.3	Analyses the Delegates feedback/complaint or appeal with the help of Tutors and maintain the records. Inform the delegate time, how much time is needed to resolve the issue, based on discussion with Tutor.	Course Manager	
1.4	As per the requirement countermeasures are incorporated and implemented in the system.	Course Manager	
1.5	Follow up the activity as per action plan to achieve the target date informed to delegate. Communicate the decision taken as well as action plan to the Delegate, if decision is accepted then close the complaint/appeal, otherwise keep revising the action until resolved. Note: If a Delegate appeals against examination result, then an independent review of the Delegate Exam papers is to be done. In cases where the Delegate is not satisfied with the outcome of the appeal process, he can appeal to the CQI, who will ask for evidence of the independent marking review and a copy of the Delegate's Exam papers.	Course Manager & Other Concerned Members	
1.6	Summary of Delegates feedback are reviewed in yearly Management Meeting.	Course Manager	
2.0	Malpractice and Maladministration		
2.1	Following issues are considered as malpractice by Delegates: <ul style="list-style-type: none"> • Arranging for someone else to sit a CQI and IRCA examination on his/her behalf • Impersonation of another delegate 	Director- Training	



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	<ul style="list-style-type: none"> • Being in possession of confidential material in advance of the examination, e.g. examination question paper, model answer or marking guidance • Being in possession of materials not permitted in the examination room, e.g. notes, books, dictionaries/calculators (when prohibited), blank paper, mobile phones, smart watches. Possession of such materials will be malpractice whether the learner uses them, or the information contained within the materials is relevant to the examination being sat • Communicating with other students in the examination room in breach of CQI examination regulations • Copying the work of another student or knowingly allowing a student to copy from his/her own work. • Working collaboratively with any other student(s) by whatever means during examinations • Including inappropriate, offensive material in examination scripts • Plagiarism or misrepresentation of learner's work • Failure to adhere to the published CQI examination regulations • Failure to adhere to instructions given by an examination invigilator in relation to the examination regulations, e.g. continuing to work beyond the allotted examination time, refusing to hand in the examination script and/or examination paper when requested, not adhering to warnings relating to conduct during the examination • Disruptive behaviour (including offensive language and aggressive/violent conduct) in the training and examination venue • Tampering with, or forgery of, results documentation, including certificates 		
2.2	<p>Following issues are considered as malpractice by staff, tutors, invigilators, and markers working for URS, a branch, or a subcontractor:</p> <p>BREACH OF SECURITY</p> <p>Any act which breaks the confidentiality of examination question papers or materials or the confidentiality of learners' examination scripts. This could involve:</p>	Director- Training	



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	<ul style="list-style-type: none"> • Failure to keep examination question papers, marking schemes or scripts secure before, during or after an examination • Discussing or revealing in public (e.g. posting on social media channels) secure information relating to <ul style="list-style-type: none"> • CQI and IRCA examinations • Tampering with learners' examination scripts <p>DECEPTION Any act of dishonesty in relation to any examination, such as:</p> <ul style="list-style-type: none"> • Inventing or changing examination marks when there is no evidence of learner achievement to justify the marks being given • When marking examination scripts, not reporting suspected incidents of malpractice by a learner to the ATP • Entering fictitious learners for examinations or otherwise subverting the assessment or certification process with the intention of financial gain <p>IMPROPER ASSISTANCE TO LEARNERS</p> <ul style="list-style-type: none"> • Knowingly allowing an individual to impersonate a learner • Allowing a learner to possess and/or use materials not permitted in the examination room • Allowing learners to communicate with each other during an examination in breach of CQI regulations • Allowing a learner to copy another learner's work or allowing a learner to let his/her own work to be copied • Allowing learners to work collaboratively during an examination • Advising and/or assisting a learner with his/her examination answers • Allowing a learner to work beyond the allotted examination time unless a time extension has been agreed in advance in accordance with CQI examination regulations • Damaging a learner's work • Disruptive behaviour (including offensive language and aggressive/violent conduct) in the training and examination venue • Leaving learners unsupervised during an examination • Divulging any information relating to a learner's examination performance and/or result to anyone other than the learner him/herself. 		



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	<ul style="list-style-type: none"> Tampering with, or forgery of, results files and/or associated documentation <p>FAILURE TO CO-OPERATE WITH AN INVESTIGATION</p> <ul style="list-style-type: none"> Failure to make available information reasonably requested by the CQI during an investigation, or in deciding whether an investigation is necessary Failure to respond to an instruction from the CQI to investigate an allegation or suspected case of malpractice or maladministration Failure to investigate or provide information according to agreed deadlines Failure to report all suspicions of malpractice 		
2.3	<p>Following issues are considered as maladministration by staff, tutors, invigilators, and markers working for URS, a branch, or a subcontractor:</p> <ul style="list-style-type: none"> Not using current examination papers, marking schemes and documentation Failure to train adequately those invigilating examinations Failure to ensure that examination venues conform with the CQI's requirements Failure to standardise and moderate tutor marking (includes tutors working for branches and subcontractors) Failure to keep accurate learner records Failure to upload accurate learner data to the CQI Failure to store and despatch certificates securely and in a timely manner 	Director- Training	
2.4	Acknowledge allegations or reports of malpractice and maladministration within 3 working days. Register the allegations in the complaint register.	Director- Training	URS/P/01/F01
2.5	Carry out or oversee all investigations into alleged or suspected malpractice or maladministration.	Director- Training	
2.6	Inform the Office/Subcontractor concerned and any affected learners of the nature of an allegation unless it would create a risk to the complainant or whistle-blower.	Director- Training	
2.7	Allow the subject of an allegation to provide written responses to any allegations of malpractice and/or maladministration and consider these written statements when reaching a decision.	Director- Training	



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2.8	Maintain a register of all allegations of malpractice.	Director- Training	URS/P/01/F01
2.9	Keep all material collected as part of an investigation secure and not normally disclose to any third parties (other than the police, other awarding and professional bodies or court order, where appropriate)	Director- Training	
2.10	Process personal data collected as part of the investigation in accordance with data protection laws.	Director- Training	
2.11	Ensure all staff and tutors, whether working directly for URS or for one of its branches or subcontractors, understand and comply with this malpractice and maladministration procedure.	Director- Training	
2.12	Report to the CQI at the earliest opportunity all suspicions or actual incidents of malpractice or maladministration.	Director- Training	
2.13	Provide or make available information requested by the CQI within the required timelines.	Director- Training	
3.0	Reasonable adjustments and special considerations		
3.1	<p>A reasonable adjustment is any action that helps to reduce the effect of a disability or difficulty that would otherwise place a learner at a substantial disadvantage in an examination situation. Reasonable adjustments must not affect the integrity of the examination but may involve:</p> <ul style="list-style-type: none"> • Changing usual assessment arrangements, for example, allowing a learner extra time to complete the examination • Adapting examination papers, such as providing materials in Braille • Helping during the examination, such as a sign language interpreter or a reader • Re-organising the examination room, such as removing adverse visual stimuli for an autistic learner • Changing the type of assessment, for example, from a written assessment to a spoken assessment • Using assistive technology, such as screen reading, or voice activated software • Providing the mechanism to have different coloured backgrounds to screens for onscreen examinations or asking for permission for copying to different coloured paper for paper-based examinations 	Tutor/Invigilator	



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	<ul style="list-style-type: none"> Providing and allowing different coloured transparencies with which to view assessment papers 		
3.2	<p>The CQI permits additional examination time, not exceeding 30% of the total examination time, for learners suffering from disabilities, for example dyslexia, muscular dystrophy etc.</p> <p>Additional time not exceeding 20% of the total examination time, is also allowed for learners who speak English as a second language and are taking the examination in English.</p> <p>Any other learner requests for reasonable adjustments must be submitted by the QA Manager to the CQI for approval prior to the examination taking place.</p> <p>What is judged as 'reasonable' is depend on the individual circumstances, cost implications and the practicality and effectiveness of the adjustment. Other factors such as health and safety requirements are also be taken into consideration.</p>	Tutor/Invigilator	
3.3	<p>May apply to the URS Training for special consideration after the examination has taken place if they feel they have been disadvantaged during the examination due to:</p> <ul style="list-style-type: none"> An unexpected or temporary illness or injury An event outside of their control which has had, or is likely to have had, a material effect on their ability to demonstrate their level of attainment in the examination, for example a bereavement or circumstances affecting the conditions under which the examination was taken. 	Learner	
3.4	<p>Special consideration should not give the learner an unfair advantage. The learner's result must reflect their achievement in the examination and not necessarily their potential ability. Special consideration, if successful, may result in a post-examination adjustment to the mark of the learner. The size of the adjustment is depending on the circumstances and reflect the difficulty faced by the learner. It must consult the CQI before agreeing a special consideration request.</p>	QA Manager	

4. Records:

4.1 Complaint/Appeal Register URS/P/01/F01

4.2 Delegate Feedback Form URS/P/01/F02