

## Diamond People (NE) trading as Tyneside Training Services



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## **Malpractice and Maladministration Policy**

### **1. Policy**

This policy outlines the approach taken by Tyneside Training Services (TTS) to prevent, identify, investigate, and manage incidents of malpractice and maladministration in the delivery and assessment of qualifications. It ensures compliance with the requirements of awarding bodies, Ofqual, ESFA, and other regulatory authorities.

### **2. Scope**

2.1 This policy applies to:

- All staff, tutors, assessors, and internal quality assurers
- Learners enrolled on any programme
- Subcontractors and delivery partners
- Employers involved in apprenticeship or bootcamp delivery

### **3. Definitions**

3.1 Malpractice: Any deliberate act or practice that compromises the integrity of assessment, the validity of certification, or the reputation of TTS. Examples include:

- 3.1.1- Plagiarism or cheating by learners
- 3.1.2- Falsification of records or evidence
- 3.1.3- Collusion between staff and learners
- 3.1.4- Misuse of awarding body logos or branding
- 3.1.5- Fraudulent certification claims

3.2 Maladministration: Unintentional errors or poor practice that result in non-compliance with regulations. Examples include:

- 3.2.1- Late or incorrect learner registrations
- 3.2.2- Inaccurate certification claims
- 3.2.3- Poor record-keeping
- 3.2.4- Failure to follow assessment procedures

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### **4. Responsibilities**

- 4.1- Senior Leadership Team: Overall accountability for policy implementation and investigation outcomes.
- 4.2- Quality Team: Monitoring compliance, training staff, and leading investigations.
- 4.3- Tutors/Assessors: Preventing, identifying, and reporting suspected malpractice or maladministration.
- 4.4- Learners: Complying with assessment rules and reporting concerns.

### **5. Reporting and Investigation**

- 5.1- Suspected cases must be reported immediately to the department line manager.
- 5.2- The report will be acknowledged within 3 working days.
- 5.3- Investigations will be conducted confidentially and fairly.
- 5.4- Outcomes will be documented and shared with relevant parties.
- 5.5- Where necessary, awarding bodies and regulators will be notified.

### **6. Appeals**

Tyneside Training Services (TTS) is committed to ensuring that all learners and staff have the right to appeal decisions made in relation to malpractice or maladministration investigations. This section outlines the process, timescales, and responsibilities for managing appeals.

#### **6.1 Right to Appeal**

Any learner, staff member, or employer involved in an investigation has the right to appeal the outcome if they believe:

- The decision was incorrect or unfair.
- The investigation process was not followed correctly.
- New evidence has emerged that could affect the outcome.

#### **6.2 How to Appeal**

6.2.1 Appeals must be submitted in writing to the Director of Quality & Operations within 10 working days of receiving the investigation outcome. This is Louise Murray – [louise.murray@tynesidetrainingservices.co.uk](mailto:louise.murray@tynesidetrainingservices.co.uk)



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### **6.2.2 The appeal must include:**

- Full name and contact details.
- Details of the original decision.
- Clear explanation of the grounds for appeal.
- Any supporting evidence.

### **6.3 Appeal Review Process**

#### **6.3.1 Stage 1: Acknowledgement**

The Director of Quality & Operations will acknowledge receipt of the appeal within 3 working days

#### **6.3.2 Stage 2: Independent Review**

The appeal will be reviewed by an Appeals Panel consisting of:

- A senior manager not involved in the original investigation.
- An independent representative (where possible).
- A member of the Quality Team (not previously involved).

#### **6.3.3 Stage 3: Decision - The Appeals Panel will:**

- Review all evidence and documentation.
- Interview relevant parties if necessary.
- Make a decision within 10 working days of receiving the appeal.

### **6.4 Possible Outcomes**

- Appeal Upheld: The original decision is overturned or amended.
- Appeal Rejected: The original decision stands.
- Further Action Required: Additional investigation or corrective measures.

### **6.5 Notification**

- The appellant will receive a written outcome within 10 working days of the panel's decision.
- If the appeal is upheld, TTS will take immediate steps to implement any required changes.

### **6.6 Escalation**

If the appellant remains dissatisfied after the internal appeal process, they may escalate the matter to:

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☐ Awarding Organisation (first point of escalation for assessment malpractice) – contact details available on request.

☐ DfE (Funding and Compliance)

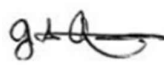
Email: [customer.complaints@education.gov.uk](mailto:customer.complaints@education.gov.uk)

DfE Helpline: 0370 000 2288 (Mon–Fri, 9am–5pm)

### **7. Review**

This policy will be reviewed annually or in response to regulatory changes, incidents, or feedback.

### **Version Control**

|                              |  |
|------------------------------|--|
| <b>Version:</b>              | V3   |
| <b>Reviewed by:</b>          | John Jones   |
| <b>Reviewer's position:</b>  | Executive Director   |
| <b>Reviewer's signature:</b> |  |
| <b>Review date:</b>          | October 2025   |
| <b>Next review date:</b>     | October 2026   |