Malpractice and Maladministration Policy and Procedure

July 2026

Version V15

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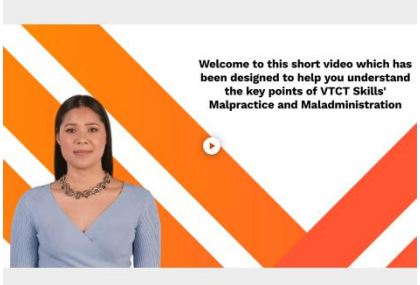
1. Introduction

1.1. Video Summary

VTCT Skills appreciates accessibility and to ensure the key information is easy to understand, we have included a video that summarises the main points of this policy.



Please watch the video by pressing control and clicking on the image.

1.2. Purpose of the policy

The purpose of this policy is to safeguard the integrity, validity, and standards of VTCT Skills qualifications by establishing clear expectations for the reporting, prevention, identification, and management of malpractice and maladministration. It defines what constitutes malpractice and maladministration, outlines the circumstances in which VTCT Skills will become involved, and sets out the processes that will be followed to ensure fair, consistent, and proportionate handling of all cases. This policy ensures VTCT Skills qualifications are delivered in line with regulatory requirements, and the VTCT Skills Centre Agreement.

To support a full and consistent understanding of responsibilities, this policy should be read alongside other key VTCT Skills policies which provide additional guidance. These include but are not exclusive to, the Centre Agreement, the Plagiarism, Collusion and Cheating Policy, the External Whistleblowing Policy and Procedure, the Sanctions Policy, the Adverse Effects Policy, the Conflict of Interest Policy and Procedures, the Enquiries and Appeals Policy, the Withdrawal of Approval Policy and the VTCT Skills AI Principles.

1.3. Scope of the policy

This policy applies to all VTCT Skills qualifications delivered both within and outside the UK and covers all matters relating to the suspected malpractice pertaining to the assessment of VTCT Skills qualifications at approved centres and or/quality assurance processes conducted by VTCT Skills approved centres. Concerns falling outside this scope that relate to personal dissatisfaction with the teaching quality or matters arising from a contractual and/or service agreements between a centre and a learner such as issues regarding fees, enrolment, or delivery arrangements. These types of concerns should be raised directly with the Head of Centre and addressed through the centre's own internal policies and procedures.

VTCT Skills cannot act in relation to centre-related employment disputes. Any concerns relating to an individual's employment contract, working conditions, or employment-related grievances must be pursued with the relevant employer or responsible body, in accordance with their internal organisation's HR policies and procedures.

VTCT Skills is committed to ensuring all individuals participating in VTCT Skills qualifications do so in a safe and supportive assessment environment. If there are concerns that a child or

vulnerable adult is at risk these must be raised under the centre's safeguarding procedures and, where applicable, in line with national safeguarding legislation and regulatory expectations.

2. What is Malpractice and Maladministration?

By establishing a shared understanding of these terms, VTCT Skills aims to support centres in recognising potential issues at an early stage, preventing breaches where possible, and responding appropriately when concerns arise. The definitions below provide the foundation for identifying, reporting, and managing incidents in line with regulatory expectations and this policy.

2.1. Malpractice

Malpractice refers to any act of dishonesty or deliberate wrongdoing, wilfully negligent behaviour or qualification fraud that compromises or could compromise the integrity, validity, or fairness of the assessment process. It also includes actions which may damage the reputation of VTCT Skills or it's qualifications.

2.1.1. Centre Staff Malpractice

Malpractice committed by a member of staff or contractor at a Centre, or an individual appointed as a practical assistant to a learner, whether deliberate or unintentional.

2.1.2. Learner malpractice

Refers to any action whether deliberate or unintentional that undermines the integrity of the assessment process. This includes behaviours that result in a learner gaining, or attempting to gain, an unfair or unearned advantage.

2.2. Maladministration

Maladministration refers to any error, neglect, failure, or poor practice by a centre or learner that results in non-compliance with the required processes for delivery or assessment of VTCT Skills qualifications or standards.

VTCT Skills is committed to preventing malpractice and maladministration at every stage of the assessment process. All concerns raised will be reviewed thoroughly, and robust action will be taken where issues are confirmed. As a regulated awarding organisation, VTCT Skills must also consider any potential adverse effects and take steps to prevent these wherever possible. This ensures that learners, assessment outcomes, and the overall standards of VTCT Skills qualifications are always protected.

The following additional examples are provided to help centres and learners understand the types of behaviours and practices which may be considered malpractice or maladministration. This is not an exhaustive list, but it offers an indication of the kinds of issues that could compromise the integrity of VTCT Skills assessments or quality assurance processes.

Malpractice	Maladministration
Failure to adhere to VTCT Skills Centre Agreement	Mistakes from poor record keeping
Not maintaining the security of the assessments	Inadvertent failure to act
Deliberate / consistent failure to comply with our assessment requirements including the retention of assessment evidence and internal quality assurance records	Poor record keeping e.g. certification claims
Prompting / assisting learners during assessments or giving the answers to such an extent that the evidence is no longer authentic i.e. does not represent the learner's own achievement	Inadvertently giving misleading or inadequate information
Inappropriate adjustments to assessments or assessment decisions	Poor communication
Deliberate falsification of records to claim certification	Flaws in policies or decision making.
Manufacture of evidence	Mishandling or loss of assessment materials
Learners still working towards a qualification after certification claims have been made	Wrongly signed or dated documentation
Allowing reasonable adjustments without the appropriate evidence or without notifying VTCT Skills	
Inaccurate or deliberately misleading statements or submissions provided during the centre or qualification approval process, or at any time during the assessment process	
Breach of security	
Improper assistance to learners	
Failure to co-operate with an investigation	
Failure to comply with regulations/VTCT Skills policies for Reasonable Adjustments or Special Consideration	
Manufacturing evidence of competence	

Entering fictitious candidates for examinations or assessments, or otherwise subverting the assessment or certification process with the intention of financial gain	
Providing misleading or inaccurate information to VTCT Skills	
Use of Artificial Intelligence (AI) tools during assessments, resulting in evidence that is not authentic or does not reflect the learner's own work	

Learner Malpractice
• Plagiarism • Collusion • Copying • Unauthorised aids during external assessment e.g. notes, mobile phone or similar • Assisting other candidates during an external assessment • A breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination or assessment rules and regulations • Accessing the internet, online materials or AI tools during assessment and invigilation • Making a false declaration of authenticity • Being in possession of unauthorised confidential information about an examination or • assessment

2.3. Adverse Effect

An Adverse Effect is any act, omission, event, incident, or circumstance that results in, or has the potential to result in:

Disadvantage or prejudice to learners or potential learners, or a negative impact on:

- VTCT Skills ability to develop, deliver, or award its qualifications in line with regulatory conditions
- the standards, validity, or reliability of the qualifications it makes available or plans to make available
- public confidence in those qualifications or in VTCT Skills arrangements.

3. Rights and Responsibilities in Relation to Alleged or Suspected Malpractice or Maladministration

This section outlines the key responsibilities of both centres and VTCT Skills when managing suspected or confirmed cases of malpractice or maladministration.

3.1. Centres Responsibility

The centres must:

- Always comply with the VTCT Skills Centre Agreement which sets out the specific duty not to put VTCT Skills in breach of its ability to fulfil its regulatory obligations.
- Centres must have a malpractice policy in place, with a named individual, typically the Head of Centre responsible for reporting and overseeing all suspected or actual incidents of malpractice to VTCT Skills including the management of conflicts of interest.
- Centres must take all reasonable steps to ensure that staff involved in the assessment, administration, and quality assurance of VTCT Skills qualifications as well as learners are fully aware of the contents of this and associated policies.
- Centres must ensure that robust arrangements are in place to prevent, identify, and investigate instances of malpractice and maladministration. Accordingly, centres are responsible for ensuring that all relevant staff understand their individual responsibilities in preventing malpractice and that they follow both the centre's procedures and VTCT Skills' requirements for the delivery of internal and independent assessments. While the time required for a centre to investigate suspected irregularities may vary, VTCT Skills expects a timely, detailed, and thorough response. Failure by a centre to report suspected or actual cases of malpractice or maladministration, or failure to maintain adequate arrangements to prevent such cases, may result in sanctions being imposed in accordance with the VTCT Skills Sanctions Policy, where the range of possible sanctions is described.

- Centres must ensure they and their staff cooperate fully with an enquiry into an allegation of malpractice/maladministration, whether or not the centre is directly involved in the case
- Centres must pass on to the individuals concerned any warning or notification of sanctions to ensure compliance with any requests made by VTCT Skills as a result of malpractice.

3.2. Rights of the Accused Individual

When an incident of suspected malpractice is reported to VTCT Skills, or on receipt of a report from VTCT Skills, individual/s (whether a learner or member of staff) accused of malpractice should:

- be informed (preferably in writing) of the allegation made against them
- know what evidence there is to support that allegation

- know the possible consequences should malpractice/maladministration be proven
- consider their response to the allegations (if required)
- have an opportunity to submit a written statement
- have an opportunity to seek advice and to provide a supplementary statement (if required)
- be informed of the applicable appeals procedure, should a decision be made against them.

3.3. VTCT Skills

The points below provide an overview of VTCT Skills' obligations. VTCT Skills will

- ensure reasonable steps are taken to prevent the occurrence of any malpractice or maladministration. VTCT Skills have policies and procedures in place to safeguard the integrity of the qualification/ assessment
- support VTCT Skills approved centres in dealing with suspected cases and any ensuing investigation and action
- acknowledge and act upon the information given by informants
- carry out all VTCT Skills duties in line with procedures and without undue delay
- acknowledge and act upon the information given by informants
- take appropriate and proportionate action against those responsible for malpractice or maladministration by applying appropriate sanctions in line with our Sanctions Policy
- report the incident to the appropriate Regulators and other stakeholders as required
- ensure investigations whether undertaken by VTCT Skills or a centre are conducted by individuals who are suitably skilled, knowledgeable, and competent, and who have no personal or vested interest in the matter under review
- meet all regulatory reporting obligations, including notifying regulators of any adverse effects or suspected instances of malpractice or maladministration
- make readily available a published procedure for considering appeals against any penalties arising from malpractice/maladministration decisions to all centres involved in malpractice/maladministration decisions (see appendix A)
- once the investigation is complete, the investigating officer will submit the full report and all supporting evidence to the VTCT Skills Quality Assurance team who will present this to the VTCT Skills malpractice committee. The Committee is responsible for overseeing the investigation process, ensuring good governance, and confirming that all relevant evidence has been properly collected and evaluated. The Malpractice Committee is the body that makes the final decision on whether malpractice or maladministration has occurred.
- where an allegation may affect another awarding organisation, VTCT Skills will inform the relevant organisation in line with regulatory requirements and may undertake a joint investigation where appropriate

4. Reporting of Alleged or Suspected Malpractice or Maladministration

Suspected malpractice or maladministration may be reported by any individual who becomes aware of a potential issue. This may include centre staff, registered learners, awarding organisation personnel, contractors (such as markers, moderators, examiners, External Quality Assurers), external bodies (for example, the Education and Skills Funding Agency) or the regulators. VTCT Skills may also identify concerns through routine quality assurance activity or during the review of other data sources

Individuals who wish to disclose information relating to malpractice in the assessment or quality assurance of qualifications may choose to report their concerns internally to a senior member of staff within the organisation delivering the qualification, following that organisation's whistleblowing policy. If an individual has raised concerns internally but feels they have not been properly addressed, or if they feel unable to raise the matter within the organisation, they should report the allegation directly to VTCT Skills.

If the allegation implicates the head of centre, VTCT Skills, where appropriate may notify the chair of the centre's governing board or another appropriate senior representative. In such cases, potential conflicts of interest will be considered when determining who should undertake the investigation and how it should be managed to ensure transparency and impartiality.

For the purpose of any investigation VTCT Skills will refer to any individual that provides information regarding suspected malpractice, as an informant. This includes centre staff as well as general members of the public. VTCT Skills ask that individuals who are in possession of evidence to support their allegations to provide this at the time of making the allegation, or as soon as they are contacted by VTCT Skills. Each disclosure will be considered sensitively and carefully, and appropriate action will be taken. It should be noted, the ability to substantiate allegations is often dependent on the availability of documentary evidence. Evidence becomes increasingly difficult to produce and authenticate as time elapses. Therefore, VTCT Skill strongly encourage anyone who suspects malpractice to notify us as soon as possible. Concerns of malpractice should be reported to malpractice@vtctskills.org.uk

A member of the Quality Assurance team will acknowledge the email and may arrange a telephone interview with the person who reported the malpractice to gather more information. VTCT Skills will endeavour to keep an informant's identity confidential when asked to do so. However, those disclosing information should also recognise that they may be identifiable by others due to the nature or circumstances of the disclosure.

Information received in disclosures may be shared with third parties where necessary including but not exclusively the police, fraud prevention agencies or other law enforcement agencies, the courts (regarding any court proceedings) or any other agencies to which we have an obligation e.g. the Charities Commission, Funding Agencies or the regulators. Anonymous disclosures will be considered but it may not always be possible to investigate them. Individuals who are concerned about being identified should discuss their concerns with the VTCT Skills at the time of disclosure. We cannot disclose to an informant the outcome of an investigation or any action that is taken because of an investigation.

If an informant engages with VTCT Skills in an abusive, hostile, or inappropriate manner, such conduct will be regarded as vexatious. VTCT Skills will also classify behaviour as vexatious when an individual makes persistent or repeated contact that hinders the organisation's ability to conduct investigations effectively. This may include excessive or repeated telephone calls, emails, or letters; sending duplicate correspondence to multiple staff members; refusing to accept decisions or explanations provided; or continuing to make contact without presenting any new or relevant information. Where such behaviour occurs, VTCT Skills reserves the right to limit or cease communication with the individuals. Should this be necessary VTCT Skills may refer the informant to a Senior Manager.

4.1. Situations brought to our attention by the regulators

Where the regulators inform VTCT Skills of failures identified within the assessment processes of another awarding organisation, VTCT Skills will review whether a similar issue could affect its own assessment arrangements. Regulators may also bring to VTCT Skills' attention suspected malpractice occurring within an approved centre. In all such cases, VTCT Skills will take appropriate action to confirm compliance, assess any potential risks to learners or the integrity of assessments, and may implement measures to prevent recurrence.

5. Stages of the Process Investigation

The diagram below provides a high-level summary of the key stages involved in managing a malpractice or maladministration case. Each stage represents an essential part of ensuring that all concerns are handled consistently, fairly, and in line with VTCT Skills' regulatory obligations.

Allegation – A concern is raised or an incident is identified, either by the centre, VTCT Skills, a learner, external body or any other source

Initial Response – VTCT Skills reviews the information submitted, acknowledges the allegation, and determines the immediate actions required

Investigation – An investigation is initiated, either by the centre or by VTCT Skills, depending on the nature and seriousness of the allegation. VTCT Skills endeavours to address and conclude an investigation within a 30-day period; however, it is important to recognise that these timelines may vary depending on the complexity of the case. In addition, once the investigation is completed, VTCT Skills requires time for the outcomes to be reviewed and presented to the Malpractice Committee. The Committee is responsible for reviewing the evidence, considering the findings, and making the appropriate recommendations.

Report – A malpractice report is the formal written record of an investigation into suspected malpractice. This report may be completed either by VTCT Skills or by the centre, depending on which party has undertaken the investigation. Findings are documented in a clear and evidence-based report, outlining the facts, analysis, and conclusions.

Decision – The Malpractice Committee plays a critical role in ensuring fairness, integrity, and consistency across VTCT Skills' investigation and decision-making processes. The Committee provides an independent and robust review of all malpractice reports and supporting evidence, ensuring that outcomes are impartial, well-reasoned, and aligned with regulatory requirements. Its role is essential in protecting the credibility of VTCT Skills qualifications, maintaining public confidence, and ensuring that all learners and centres are treated consistently and transparently. By carefully examining the evidence and making informed recommendations, the Committee strengthens the overall quality assurance framework and supports the integrity of the awarding process.

6. Right to appeal

An appeal can be made against a decision or action taken/to be taken following an investigation into maladministration or malpractice.

6.1. Process for dealing with an appeal against a decision or action relating to malpractice or maladministration

- This section sets out the process to be followed to appeal against such a decision or action following an investigation into maladministration or malpractice outcome. For clarity, this appeal process is separate from appeal against an assessment decision, unless an assessment decision is the subject of the appeal following an investigation into malpractice or maladministration.
- The Head of Centre may submit an appeal against the malpractice or maladministration decision. This appeal may be submitted on behalf of the centre, or on behalf of any learner who has been issued a sanction as a result of the malpractice or maladministration finding.

The appellant should submit a report to the Director of Qualifications and Standards via malpractice@vtctskills.org.uk setting out the reasons for the appeal, together with any supporting evidence, as soon as possible and no later than **15 working days** after the date of receipt of the decision. Please note that appeal applications without supporting evidence will not be accepted.

The following information must be included in the appeal:

- Centre name and number;
- Learner name(s) and registration number(s) if relevant;

- The name of the qualification involved;
- Details of any investigation carried out relating to the issue;
- Rationale for appeal and which outcomes are being contested
- Counter evidence to support appeal
- The appellant's name, position and signature.

VTCT Skills will:

- consider if it will accept the appeal and notifies the appellant of this decision, normally within 10 working days of receipt of the appeal;
- if it accepts the appeal, arrange for a panel comprising a minimum one senior manager and an independent person to review the case and come to a decision, normally within 20 working days of receipt of the appeal.

If it is not possible to complete the review within 20 working days, VTCT Skills will notify the appellant of the expected timescale.

Possible outcomes are as follows:

- the appeal is not upheld.
- the decision has been judged to be unreasonable and has been removed or changed.
- procedures were judged to have not been applied consistently, properly or fairly. The subsequent decision is reviewed and revised accordingly.

The panel's decision is final and completes the internal appeals procedures. No further appeal will be accepted.

If an appellant wishes to take the matter further, they may choose to contact the relevant regulator(s). However, this should only be pursued as a final last resort. The regulator(s) will require evidence that the appellant has fully exhausted VTCT Skills' internal appeals procedure, as outlined above, before considering any escalation.

6.2. Appeal against VTCT Skills form

Appeal details

Centre name:	
Centre number:	
Date appeal submitted:	
Please provide the following information/attach the related evidence:	
Appellant/s name/s including position and signature and VTCT Skills registration number(s) if relevant	

The name of the qualification involved	
Details of any investigation carried out relating to the issue	
Rationale for appeal and which outcomes are being contested	
Counter evidence to support appeal	
Centre representative	
Name:	
Role:	
Contact email:	
Contact phone number:	
Signature:	
Date:	

Attach this form to the front of documents when submitting by mail,

and send to malpractice@vtctskills.org.uk

When submitting electronically, please include all evidence as file attachments.

7. Centre Internal Investigations Guidance

7.1. Introduction

Together with our approved centres VTCT Skills and all of its subsidiaries, have a responsibility to ensure the successful delivery of assessments and examinations, and prevent malpractice and maladministration from occurring. Malpractice and maladministration are two distinct, but related concepts. In broad terms, maladministration generally covers mistakes or poor processes where there has been no intention on the part of the person responsible to do any harm. It may involve some degree of incompetence or ineptitude, or may result from carelessness or inexperience. Whilst not an exhaustive list, the following are some examples of maladministration:

- mistakes arising from inattention
- faulty procedures
- failure to follow correct procedures
- poor record keeping
- inadvertent failure to take action
- poor communication and
- Inadvertently giving misleading or inadequate information

By contrast, malpractice will generally involve some form of intent. It may also include circumstances where an individual has been negligent or reckless as to the consequences of their actions.

Examples of malpractice include but are not limited to:

- Collusion/Cheating in an assessment
- Attempting intentionally to manipulate a result so that it does not reflect the learner's actual performance in an assessment
- Breach of assessment security
- Falsification of Results
- False ID at registration
- Impersonation
- Aberrant Invigilator Practice
- Regulators, or which bring the wider qualifications systems into disrepute

The purpose of this document is to provide resources and guidance that supports centres in conducting internal investigations. While centres may have their own internal investigation processes and policies, this document is designed to complement those procedures. Depending on the severity and complexity of the circumstance, as well as the adequacy of the centres'

internal investigation outcomes, VTCT Skills may choose to investigate concurrently with or following the centre's investigation.

7.2. Reporting

It is mandatory for centres to report all suspected or alleged cases of malpractice/maladministration directly to VTCT Skills. When communicating with VTCT Skills, centres must ensure that they provide comprehensive information regarding the findings or suspicions of malpractice/maladministration. For more information, refer to our Malpractice and Maladministration Policy. Failure to report such incidents may result in sanctions being imposed.

7.3. Responsibility

The Head of Centre holds the following responsibilities in relation to investigations:

Ensuring Impartiality: The appointed staff member(s) leading the investigation must not have a personal interest in the outcome of the investigation. They should remain impartial and should not be involved in the specific allegation being investigated.

Avoiding Conflict of Interest: The staff members leading the investigation should have no conflict of interest with the individuals, learners, or function being investigated. This ensures their ability to make objective and unbiased decisions.

Appointing Competent Staff: The Head of Centre should ensure that the staff member(s) leading the investigation possess the necessary skills and competencies to conduct a thorough investigation.

Informing individuals: It is the responsibility of the Head of Centre to inform individuals suspected of malpractice/maladministration about the relevant details of the case and the potential outcomes

Findings: Once the investigation is complete, a report detailing the findings and actions taken should be submitted to VTCT Skills

Storage and retention of related Materials: Ensure that all collected materials and evidence are stored securely and not disclosed to any third parties, except where necessary, such as regulators or law enforcement agencies. All related documents should be retained in accordance with VTCT Skills' Centre Agreement, following appropriate retention guidelines.

8. Carrying out an investigation

The investigation serves the following purposes, aiming to:

Determine Malpractice/Maladministration: Identify whether malpractice/maladministration has taken place.

Establish Facts: Establish the facts surrounding the incident, including the cause, source, and extent of the malpractice or maladministration.

Gather Evidence: Collect and analyse any evidence relevant to the investigation to support the findings.

Address Risk: Assess whether any actions have been taken or are necessary to minimize the risk to learners and maintain the integrity of the qualification(s) and assessment.

Implement Policy and Procedure Changes: Identify any required changes to policies and procedures to prevent a recurrence of similar incidents in the future.

Mitigate Adverse Effects: Identify any adverse effects resulting from the malpractice or maladministration and, if possible, mitigate and correct them.

By fulfilling these objectives, the investigation aims to ensure fairness, maintain the quality of assessments, and safeguard the interests of learners and the integrity of the qualification(s).

8.1. Stage 1: Briefing and record-keeping

It is crucial that individuals involved in the investigation process have a clear understanding of their role and responsibilities. This ensures effective and efficient handling of the investigation. Additionally, investigators should maintain a detailed record of their actions throughout the investigation. Keeping a comprehensive record helps maintain transparency, track progress, and provide a reliable account of the investigation process and findings.

8.2. Stage 2: Establishing the facts

During the investigation, investigators should thoroughly review the evidence and associated documentation, which may include VTCT Skills guidance on the delivery of qualifications and internal quality assurance arrangements.

The following facts need to be determined:

Nature and Cause: Investigate and establish what specifically occurred, including the nature and cause of the malpractice/maladministration, or substance of the allegations.

Reason for Occurrence: Determine why the event took place and identify any underlying factors or circumstances that contributed to the malpractice/maladministration.

Individuals Involved: Identify the individuals who were directly or indirectly involved in the event, including any relevant stakeholders or witnesses.

Time and Location: Establish the specific date, time, and location(s) where the incident took place. It is important to consider that there may be multiple locations involved.

Actions Taken: Assess any actions that have already been taken in response to the incident. This includes any immediate measures implemented to address the situation or mitigate its impact.

By addressing these aspects, investigators can gather a comprehensive understanding of the situation.

8.3. Stage 3: Interviews

Where applicable interviews of individuals may be required. If so interview questions and a format should be prepared and agreed by the interviewers prior to undertaking any interview(s); the interviewers must remain impartial and open-minded throughout the process. Good practice suggests two interviewers, one primarily acting as the interviewer and the other as note-taker.

Some of the suggested questions provided in Appendix 4 of this document may be of support when carrying out an investigation interview.

Interviewers may find it helpful to use the 'PEACE' technique:

- Plan and prepare
- Engage and explain
- Account
- Closure
- Evaluation

Interviewees may have another individual of their choosing present at the interview. Centres should also take into account their safeguarding responsibilities.

When undertaking interviews, notes should be taken in the most appropriate form.

When conducting telephone interviews with any learner(s) and / or staff, the investigators should pre-arrange these phone calls. Investigators should log the number of attempts made to contact an individual if no response is initially made.

8.4. Stage 4: Other contacts

In certain instances, it may be necessary to contact third parties.

8.5. Stage 5: Documentary evidence

The investigating team may present evidence for review

Documentary evidence may include:

- Invigilation reports
- Seating plans
- Witness statements
- Assessment records
- Internal Quality Assurance records

8.6. Stage 6: Reporting

The Head of Centre should submit a final report of the investigation findings and outcomes to VTCT Skills upon completion. An example of an Investigation Report Template is also available in Appendix 1 of this guidance document. Once submitted VTCT Skills will then consider this in line with the VTCT Malpractice and Maladministration Policy.

8.7. Stage 8: Decisions and Actions

All conclusions and decisions should be based on evidence. Following the report and conclusion, VTCT Skills will advise the centre on whether centre actions are sufficient or whether VTCT Skills will impose further actions. The centre actions should address the improvements that are required to policies and procedures, as well as any that are related to staff and/or other resources.

9. Appeals

Both centre staff and learners have the right to appeal against malpractice/maladministration decisions.

If a learner or centre staff disagree with the final decision regarding the centres' internal malpractice investigation outcomes, an appeal should be logged in the first instance in-line with the centres' own appeals policy and process.

10. Appendix 1: Centre Investigation Report

Confidential	
Centre number/reference	
Name of centre	
Staff conducting investigation	
Focus of investigation	
Staff under investigation	
Learners under investigation	
Date of investigation	
Report prepared by	
Report Summary and Conclusion	

Facts Already Established e.g. time/date of event; notable context information; statement made or not	**Facts Determined**

Allegations	Questions / Investigation Area / Evidence Reviewed	Outcome

Allegations	Questions / Investigation Area / Evidence Reviewed	Outcome
Investigator signature		
Date		

11. Appendix 2: Formal Interview Record

Confidential		
Name of Interviewee		
Role of interviewee		
Name of Interviewer(s)		
Other Persons Present		
Date of Interview		
Place of Interview		
Start time of Interview	**Finish time of Interview**	
Number of Pages		
Details of Interview		
I agree that the above information is a true and accurate record of the interview		

Interviewee signature		Date		Page number	

Continuation - Details of Interview

I agree that the above information is a true and accurate record of the interview					
Interviewee signature		**Date**		**Page number**	

12. Appendix 3: Investigation Evidence Log

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13. Appendix 4: Sample Interview Questions

13.1. Questions for a learner:

- When did you start your qualification?
- Do you know what qualification(s) you are undertaking?
- Do you know what the outcome will be on completion of your qualification(s)/apprenticeship(s)?
- Have you met the staff delivering your qualification(s)/apprenticeship(s)?
- Do you know who your Assessor/Tutor is?
- Do you have access to materials to support your progression through your qualification/unit/course?
- Have you received feedback from the centre staff delivering your qualification(s)/apprenticeship(s)?
- Did you feel you were provided with enough time to complete the qualification/course/units?
- Did you have formal tutor led sessions in relation to the exam subject?

13.2. Exam Based Questions:

- Have you sat an exam?
- What exam did you sit?
- Where did you sit the exam?
- Who was in the room when you sat the exam?
- Can you confirm where you were sitting within the exam room?
- How long did you take to finish the exam?
- Did you finish early or stay until the end?
- How did you prepare for the exam?
- Who was/were the invigilator(s) in the room during the exam?
- Did you receive any support with any of the questions during the exam?
- Did the invigilator leave the room during the exam?
- Did you ask any of the other learners for help during the exam?
- Did any of the learners copy your work during the exam?
- Were you allowed to have notes in the exam room?
- Were there books or other resources in the room during the exam?
- If you had a mobile phone, where was it stored during the exam?
- Were there any notes or posters on the wall in the room to help you in the exam?
- Did you see anyone helping others to answers questions during the exam?

- Did you complete your exam without any help or support from staff in the room?

13.3. Questions for an Invigilator:

- Are you aware of the Instructions for conducting Examinations and have you received a copy?
- What time did you start and finish the exam?
- Where were the learners sitting during the exam?
- Who was in the room?
- Can you confirm where you were situated within the exam room?
- What IT support did you have during the exam?
- What documents did you complete at the end of the exam?
- How did you check learner identity?
- Did you prepare the learners with formal lessons in relation to the exam subject?
- Who are the trainer/teacher – Assessor – IQA staff involved with the qualification delivery for these learners?
- Did you leave the room at any time during the exam?
- How many invigilators were present in the room during the exam?
- In situations where you are the sole invigilator, what do you do for assistance in the event of an emergency?
- Did you support learners with any of the questions and answers during the exam?
- How long did you stay in the room?
- Did the learners leave the room during the exam?
- Did any of the learners ask you for help to answer any exam questions?
- Did any of the learners copy answers from a flip chart/board?
- Did you allow the learners to have notes in the exam room?
- Where were the learners' mobile phones stored during the exam?
- Were they any notes or posters on the walls in the room which could help with the exam?
- Did you allow the learners access to any books or other resources during the exam?
- Did you see anyone helping others to answer questions in the exam?
- Did you complete any questions for the learner(s)?
- Do you have an invigilator pack?
- What checks did you complete before, during and after the exam?
- Have you received any invigilator training?
- Have you been monitored by a member of the IQA staff during exam delivery?
- Do you have KPI/Targets set against learning outcomes?

- Do you have a seating plan for each exam? (If no, ask the below question and retain signed sketch)
- For Exam..... Completed on this date.....can you draw out the room layout and identify where the learners were seated?

13.4. Questions for IQA Staff:

- Were you responsible for the quality and delivery of the exam on site?
- Are you responsible for the quality and delivery of other qualifications on site?
- Do you have an internal quality assurance strategy to cover the breadth of qualification, assessors/tutors, assessment methods, sites and learner volumes?
- Do you have a plan for your IQA activities at this site?
- Are you provided sufficient time to effectively carry out your IQA role?
- Have you interviewed the learners at this site during your IQA activities?
- Have you sampled learners work at this site?
- Have you monitored Assessor(s)/Teacher(s)/Training staff performance at this site?
- Have you reviewed and agreed learners' programmes and support materials used at this site?
- Have you monitored the delivery of exams at this site?
- Do you provide feedback to delivery staff at this site regarding their performance?
- Have you identified training needs for delivery staff at this site?
- Do you set actions for improvements, with clear deadlines for completion where appropriate?
- Do you follow up actions you have set and close off when complete?
- When did you last attend a standardisation activity?
- Can you confirm if the invigilation staff at this site have completed the appropriate development for their role?
- What Awarding Organisation documents and information do you provide the invigilation staff at this site?
- Where applicable, who is responsible for assessing Functional Skills Speaking, Listening and Communication?
- What training and development have they completed prior to assessing the learners in this subject?
- Who is responsible for submitting the Functional Skills Speaking, Listening and Communication assessment notification form? Have you monitored this activity?
- Are you aware of any Awarding Organisation actions against the centre?
- Do you have responsibility to address any of these actions?

- Are you aware of any areas of risk identified by the Awarding Organisation with respect to delivery of qualifications including exams?

Document amendment history page

Version	Document Owner	Issue Date	Changes	Role
V11	Head of Standards	23/11/2022	Policy Integration	Quality Assurance Administrator
V12	Head of Standards	24/10/2024	Branding update	Quality Assurance Supervisor
V13	Head of Quality Assurance and Centre Administration	11/04/2025	Amendments made	Quality Assurance Supervisor
V14	Head of Quality Assurance and Centre Administration	02/04/2026	Amendments to regulators and combination of documents	Quality Assurance Supervisor
V15	Head of Quality Assurance and Centre Administration	29/07/2026	Amendments to listed email address	Quality Assurance Supervisor

Document Review

Role	Review Status
Quality Assurance Supervisor	Agreed
Head of Quality Assurance and Centre Administration	Agreed

Document Owner

Document Owner	Document shared with
Head of Quality Assurance and Centre Administration	Quality Assurance Supervisor

Document Sign-off

Role	Sign-off Date
Head of Quality Assurance and Centre Administration	02/04/2026
Head of Quality Assurance and Centre Administration	29/07/2026