

Malpractice and Maladministration Policy and Procedure

Purpose

This Policy and Procedure sets out Gateway Qualifications' approach to reporting, handling, considering and investigating suspected malpractice and maladministration incidents.

Gateway Qualifications seeks to take all reasonable steps to prevent the occurrence of malpractice and maladministration. This Policy is supported by robust procedures and appropriate guidance for investigating and reporting on allegations and findings.

The aim of this Policy is to ensure that an incident does not lead to an [Adverse Effect](#) and can be prevented, corrected or mitigated.

Scope

This Policy applies to all Gateway Qualifications' key stakeholders involved in the development, delivery and award (e.g. the management, delivery, assessment, invigilation, quality assurance and administration) of all Gateway Qualifications' products and regulated qualifications, including Access to HE Diplomas, and End-point Assessment (EPA) which Gateway Qualifications makes available or proposes to make available.

Audience

This Policy is intended for the following audience:

- Recognised Centres ("Centres") in relation to the offer of qualifications with exception of End-point assessment - including all Centre staff, associates, freelance staff and contractors
- Apprenticeship Training Providers ("Providers") in relation to End-point assessment – including all staff, associates, freelance staff and contractors
- Learners/Apprentices
- Gateway Qualifications' Board of Trustees and Committee members
- Gateway Qualifications' staff
- Gateway Qualifications' wider workforce – including consultants, qualification developers, assessment associates, External Quality Assurers, Markers, Independent End-point Assessors, Internal Quality Assurers, Centre and Subject Moderators

This Policy sets out the procedures to be followed if there is a concern that malpractice or maladministration has occurred, or where it has been identified; and how to report it to Gateway Qualifications. As such, it is the Centres'/Providers' responsibility to ensure that all relevant staff members are made aware of the contents of this document.

Definitions

Adverse Effect

An act, omission, event, incident, or circumstance has an Adverse Effect if it:

- (a) gives rise to prejudice to Learners or potential Learners, or
- (b) adversely affects –
 - (i) the ability of the awarding organisation to undertake the development, delivery or award of qualifications in accordance with its Conditions of Recognition,
 - (ii) the standards of qualifications which the awarding organisation makes available or proposes to make available, or
 - (iii) public confidence in qualifications.¹

Maladministration and Malpractice

“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.”²

Whilst 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. Malpractice could comprise of a conscious decision to do anything covered in the examples provided within this Policy. Bias or discrimination could also lead to malpractice.

Failure by a Centre/Provider to notify, investigate and report to Gateway Qualifications any allegation of malpractice, or suspected malpractice constitutes malpractice in itself.

Failure to take action as required by Gateway Qualifications, as detailed in this document, or to co-operate with a Gateway Qualifications’ investigation also constitutes malpractice.

Gateway Qualifications recognises that whilst maladministration and malpractice are distinct, the two concepts can be on a spectrum. As such they will sometimes shade into one another. Sometimes, whether a particular incident is best classified as malpractice or maladministration will depend on the context, and it can be a matter of judgement.

Responsibilities

Centre/Provider Responsibilities

Gateway Qualifications’ Recognised Centres (“Centres”) are required to have a Malpractice Policy and procedure to be followed where malpractice or maladministration concerns, allegations or incidents are reported or occur.

¹ Definition source: [Ofqual Handbook, Section J](#)

² Definition source: [Ofqual Handbook, Section A](#)

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Centres must adopt and ensure compliance with an up-to-date policy and procedure, complementary to this Policy, that allows for the identification of, and aims to reduce, the risk and incidents of malpractice or maladministration occurring. The Centre's policy should also outline the actions the Centre might take if malpractice or maladministration is found in relation to their staff, contractors, or learners. Centres must provide their Malpractice Policy to Gateway Qualifications when requested to do so.

For End-point assessment, Providers are not required to have a Policy but are required to have a procedure in place to meet the responsibilities below.

Knowledge and Awareness

It is important that all Centre/Provider staff involved in the management, assessment and quality assurance of our regulated qualifications and their learners/apprentices, are fully aware of and understand the content of this Policy. Also, learners/apprentices should have the content of this Policy explained to them in terms of what malpractice means, what might constitute learner/apprentice malpractice and what action to take if they suspect malpractice.

Centres/Providers and their staff have a responsibility to take all reasonable steps to prevent the occurrence of any malpractice or maladministration in the delivery and assessment of the qualifications.

Centres/Providers are recommended to have training in place as part of staff induction and on-going training to raise awareness of malpractice and maladministration and how to prevent it.

Notification and Handling

Where incidents of suspected malpractice or maladministration are identified the Centre/Provider must:

- a) Take all reasonable steps to prevent such incidents from recurring
- b) Promptly notify Gateway Qualifications of any incidents
- c) Cooperate fully with Gateway Qualifications in respect of an investigation and any action taken by Gateway Qualifications which may include onsite visits
- d) Deliver all actions required to manage and rectify any incidents of malpractice, maladministration and poor practice which come to the attention of the Centre
- e) Comply with the requirements relating to malpractice and maladministration set out in the Gateway Qualifications' Centre Agreement (terms and conditions)
- f) Have the capability and competence to investigate any case of malpractice or maladministration where required.

Any failure to report suspected or actual malpractice or maladministration cases, or failure to have in place effective arrangements to prevent such cases, may lead to [sanctions or penalties](#) being imposed, including termination of any agreements in place with a Centre/Provider.

Conflict of Interest

If a conflict of interest is identified relating to a suspected case of malpractice, the Centre/Provider must inform Gateway Qualifications immediately so that an alternative investigation strategy can be considered. An example of a conflict of interest in this regard might be that a member of staff has a personal relationship or direct line management responsibility for the individual they are investigating.

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Gateway Qualifications Responsibilities

Where malpractice or maladministration is suspected by Gateway Qualifications or allegations are received from another person Gateway Qualifications is required to establish whether or not maladministration or malpractice has occurred and take all reasonable steps to prevent any Adverse Effect..

If a complaint is submitted either against or by a party that is currently under investigation for maladministration or malpractice—or if such concerns are raised within the complaint itself—the complaint will be placed on hold until the investigation is concluded. Once the investigation is complete, the complaint will be processed in accordance with our Complaints Policy and Procedure.

Gateway Qualifications is responsible for managing all reports of, investigations into, sanctions and actions as a result of malpractice or maladministration throughout the lifecycle of a qualification or end point assessment to ensure there are no Adverse Effects. The Policy therefore applies across the stages of design/development, delivery (whether Centre assessed or directly assessed), award, quality assurance and continuous improvement.

Gateway Qualifications utilises a range of methods to prevent malpractice and maladministration occurring during the qualification lifecycle. For example:

- Centre Agreements/Agreement of EPA Services and the operation of a Centre Assessment Standards Scrutiny strategy
- Specifications detailing the requirements for each assessment
- Training staff assessors (IEPAs) and IQAs on policies, including that of malpractice and maladministration
- Learner/apprentice identification guidance and checks in relation to external assessment
- Invigilation guidance for assessments
- Security, functionality and accessibility checks of IT systems.

Related Policies and Documents

This Policy should be read alongside:

Gateway Qualifications

- Gateway Qualifications' terms and conditions (centre agreement)
- Appeals Policy
- Access to HE Diploma Learner Appeals Policy
- Complaints Policy and Procedure
- Conflicts of Interest Policy and Procedure
- Sanctions Policy

Other documentation

- [JCQ Malpractice Policy and Guidance](#)

Equity, Diversity and Inclusion Statement

Throughout the development of the policies and processes cited in this document, we have given due regard to the need to eliminate discrimination, harassment and victimisation, to advance equality of opportunity, and to foster good relations between people who share a relevant protected characteristic (as cited under the Equality Act 2010) and those who do not share it.

Examples

Malpractice

The examples provided below do not constitute an exhaustive list. If unsure of whether something might constitute malpractice, please contact Gateway Qualifications for advice on centre.compliance@gatewayqualifications.org.uk. The examples in the table below relate to the design, delivery and awarding of qualifications which Gateway Qualifications makes available or proposes to make available.

Learner/Apprentice Malpractice

Breach of rules, regulations and requirements in assessment or examination

- Alteration of any results document, including certificates, including presenting a forged/falsified certificate
- Copying or using work from another learner/apprentice Impersonation (getting another person to take assessments on their behalf)
- Offering a bribe to anyone involved in the administration or delivery of assessment
- Use of unauthorised material or devices during an assessment
- The removal of confidential assessment material from the assessment/classroom
- Obtaining or attempting to obtain secure examination/assessment material including distributing said material

Inappropriate conduct during an assessment or examination session

- Use of unauthorised material or devices during an assessment
- Disruptive, violent, or offensive behaviour
- Any form of communication with other learners/apprentices (written, verbal, gestures, expressions, pointing, etc), unless permitted
- Entering obscene words or pictures onto an examination paper
- Failure to adhere to the instructions of an invigilator or supervisor
- Non-adherence of the invigilation requirements

Plagiarism³

- The use of purchased essays/assignments/portfolio submitted as a learner's/apprentice's own work
- Copying and pasting extracts or whole texts from another's work, published or unpublished, without appropriate referencing and/or acknowledgement of the source
- Paraphrasing/summarising extensively own or another's work
- Use of diagrams, images, and course notes without acknowledgement of the source
- Copying or paraphrasing sections of AI-generated content so that the work submitted for assessment is no longer their own.
- Copying or paraphrasing whole responses of AI-generated content
- Using AI to complete parts of the assessment so that the work does not reflect their own work, analysis, evaluation or calculations
- Failing to acknowledge the use of AI tools when they have been used as a source of information
- Incomplete or poor acknowledgement of AI tools
- Submitting work with intentionally incomplete or misleading references or bibliographies.

N.B: Centres/Providers should ensure that their learners/apprentices are fully aware of the requirements around referencing published sources in their work and what constitutes plagiarism.

Collusion

- Allowing another learner/apprentice to copy work or the unsanctioned collaboration between a learner and another individual in the production of work that would be submitted by a learner as the outcome of their individual efforts)
- Submitting the work of another learner/apprentice (with their consent) as their own.

N.B: Learners may work together on projects in some circumstances, however, they must write up the assignment individually and reflect on their own learning from the completion of the joint project. Any materials shared within the project/group must be acknowledged in order to avoid plagiarism and where possible content should be created independently to avoid this occurring.

Centre/Provider Staff and Wider Workforce

Breach of conduct of assessments and/or examinations and Influencing the assessment or certification process

- Breach of confidentiality and/or security of assessment materials (during design or delivery)
- Breach of personal data
- Breach of controlled assessment conditions

³ Definition adopted from the Joint Council for Qualifications:

“unacknowledged copying from or reproduction of published sources or incomplete referencing”.

- Replacing learners'/apprentices' work with alternative work
- Tampering with learners'/apprentices' work prior to submission for assessment, and/or assessment records
- Fabrication of learners'/apprentices' work
- Improper support or over-assisting learners/apprentices during assessment
- Failure to carry out assessment in accordance with Gateway Qualifications' policies and procedures, and assessment regulations
- Fraudulent registration and/or claims for certificates, for example, claiming certificates for learners/apprentices who have not yet completed their units/assessments/qualification
- Persistent instances of maladministration
- Infringements identified during Gateway Qualifications monitoring, sampling or observation activities
- Recontextualising examination questions for learners/apprentices when acting as a reader
- Use of learner/apprentice details who have entered for qualifications in the past without their knowledge

- Action or inaction that gives rise to a learner/apprentice having an unfair advantage or causes a learner/apprentice to be disadvantaged, including incorrect application of reasonable adjustments
- Members of centre staff undertaking or amending learners'/apprentices' assessments
- Prompting learners/apprentices in the production of answers to an assessment
- Manipulating learner/apprentice samples for the purpose of external quality assurance/moderation
- Falsifying the signatures of learners/apprentices, assessors, or IQAs for the purpose of validating or authenticating any qualification/entry to gateway for EPA records
- Misleading or false submissions of investigation reports
- Destruction of evidence including relating to a malpractice investigation

Failure to meet Gateway Qualifications' centre and qualification approval requirements

- Failure to store accurate records relating to learners/apprentices, assessments or internal quality assurance activities, or failure to maintain these records for the required period of time
- Failure to provide the staff, resources or systems needed to support the delivery, assessment, internal quality assurance or certifications claims
- Failure to operate sufficient processes to ensure the accuracy of certification claims
- Failure to inform Gateway Qualifications of changes in resources, staff and provisions to approved qualifications, where these differ from the time of approval
- Delivering qualifications that have not been subject to approval by Gateway Qualifications
- Delivering and/or making claims on expired qualifications after certification end date
- Inaccurate or deliberately misleading statements or submissions provided during the centre or qualification approval process, or at any time during the assessment process
- Failing to operate a Centre/Provider maladministration and malpractice policy and procedure
- Failure to respond to reasonable requests for information relating to an

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investigation

- Failure to provide Gateway Qualifications with access to premises, people or records for the purposes of conducting quality assurance and monitoring activity.
- Failure to implement specified remedial actions
- Submission of an untrue, misleading or absence of conflict of interest declaration

Providers or Employers – End-point Assessment

Tampering with submitted work, including projects, portfolios and assignments

- Manufacturing evidence of competence;
- False applications for special considerations and assessment adjustments
- Inaccurate or falsified evidence presented at EPA Gateway, with inaccurate or amended evidence to justify readiness
- Aiding the apprentice to answer questions in their assessments or producing assessment evidence beyond what EPA requirements allow

Gateway Qualifications' Staff and Wider Workforce

End Point Assessment

- Inappropriate behaviour during an assessment that causes offence to parties involved
- A breach of security such as a failure to keep assessment material secure and safe
- Deliberate destruction of, tampering with or adjusting submitted work, to include projects, portfolios and assignments
- Inadequate or incomplete guidance and advice regarding End-point Assessment requirements
- Inaccurate assessment recording that prevents accurate grade recording
- Failure to complete assessments as specified in the relevant assessment plan and standard specification
- Inaccurate presentation of occupational competence
- Inaccurate invigilation procedures followed.
- Aiding the apprentice to answer questions in their assessments or producing assessment evidence beyond what EPA requirements allow
- Deliberately giving false assessment evidence, results and/or other documents relating to the EPA
- Infringements identified at quality assurance observations

Examples of Maladministration

Maladministration events may also constitute malpractice, depending on the circumstances and evidence brought to bear during an investigation. For example, multiple occurrences of maladministration could constitute malpractice.

Whilst not an exhaustive list, the following are some examples of Centre/Provider maladministration:

- Avoidable delay (e.g. failure to respond to requests in line with service level agreements)

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- Mistakes arising from inattention
- Inadequate procedures
- Failure to follow correct Policies and procedures
- Poor record keeping
- Inadvertent failure to take action
- Poor communication
- Inadvertently giving misleading or inadequate information
- Adaptations to our documentation without prior approval

Procedure for investigating and reporting on malpractice/maladministration

Reporting

Malpractice or maladministration can be identified or reported at any stage, for example, it could be during design/development, delivery/award, or via quality assurance of directly delivered or centre delivered assessments. It can be identified or reported by:

- Centres – including all Centre staff, associates, freelance staff and contractors
- Providers and employers (where applicable)
- Learners/apprentices
- Gateway Qualifications' staff members
- Gateway Qualifications' wider workforce
- Gateway Qualifications' Trustees and Committee members

Whatever the circumstance, where there is a concern that malpractice has taken place in relation to a qualification, normal practice is to raise it through the line management of the Centre/Provider concerned. For a learner/apprentice the first point of contact would be their main tutor/ assessor or employer. Centre staff, contractors or learners/apprentices who discover or suspect malpractice or maladministration must report this to the Centre/provider contact, responsible person or as identified in the Centre's/Provider's Malpractice and Maladministration Policy.

If the concerns are not addressed at this stage, or it is not possible to raise concerns internally then Gateway Qualifications should be notified via our website form: [Suspected Malpractice Form – Gateway Qualifications](#). Failure to report allegations of suspected malpractice or maladministration to Gateway Qualifications may itself constitute malpractice.

- This form should be completed in full, and details of the suspected malpractice/maladministration should include the following, where applicable:
Learner/Apprentice ID/ULN
- Centre/Provider staff details involved in the allegation
- Gateway Qualifications' staff member/wider workforce details (name, job role) if they are involved in the allegation
- Details of the activity affected
- Nature of the suspected or actual maladministration/malpractice and associated dates
- If applicable, details and outcome of any initial investigation carried out by the Centre/Provider under their Malpractice and Maladministration Policy
- Details and outcome of any initial investigation carried out by the Centre/Provider under their Malpractice and Maladministration Policy.

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In the case of an allegation or suspicion of malpractice or maladministration, in some circumstances Gateway Qualifications will carry out the investigation, in other cases the Centre/Provider may be required to undertake the investigation under the guidance of Gateway Qualifications

Gateway Qualifications' staff, wider workforce and Trustees/Committee members reporting procedure

Gateway Qualifications' staff, wider workforce, Trustees and Committee members who come across a case of, or suspect malpractice/maladministration, must immediately contact Gateway Qualifications.

This can be done by email to centre.compliance@gatewayqualifications.org.uk using the subject line 'reporting malpractice', or phoning the office and asking to speak to the Centre Compliance Manager.

Investigation Procedure

Gateway Qualifications will ensure that the person(s) responsible for undertaking any investigations possess(es) the appropriate expertise and is/are competent to carry out the investigation. The person(s) responsible for any investigation will not have any association with the subject of the investigation i.e. there must be no conflicts of interest present.

Investigation procedure
Centres/Providers
When an allegation of malpractice or maladministration has been received, or suspicion identified, regarding a Centre/Provider, staff, employer or a learner/apprentice, Gateway Qualifications will determine the investigation type.
Gateway Qualifications' staff and wider workforce
Allegations that relate to Gateway Qualifications' staff or wider workforce will be fully investigated and dealt with in line with Gateway Qualifications' internal policies and procedures.
When an allegation of malpractice or maladministration has been received, or suspicion identified, regarding staff or a member of the wider workforce, the investigation will be undertaken by person(s) with appropriate expertise and competence who has no conflict of interest.
Access to HE Diploma provision
Gateway Qualifications will follow QAA required procedures.

The fundamental principle of all investigations is to conduct them in a fair, reasonable, proportionate and lawful manner, ensuring that all relevant evidence is considered impartially. In doing so, investigations will be based on the following broad objectives:

- Establish the facts relating to the allegation or suspicion to determine whether any irregularities have occurred. It is important to remember that just because an allegation has been made it should not be assumed that any irregularity has occurred
- Establish the facts, circumstances, and scale of the allegation
- Identify the cause of the irregularities and those involved
- Identify and, if necessary, act to minimise the risk to learners/apprentices and requests for certification
- Evaluate any action already taken by the Centre/Provider
- Identify any patterns or trends
- Identify any changes which may be needed to Gateway Qualifications' policies and procedures.

An evidence checklist and investigation timeline will be set up immediately and an investigation plan prepared.

Gateway Qualifications will ensure that all information collected as part of an investigation is kept securely.

Gateway Qualifications will ensure that the Head of Centre/Provider, or responsible person, or those subject to investigation if appropriate, is/are kept informed of progress with regards to any investigation.

Investigation Findings

The outcome of any investigation will depend on the nature of the allegation, whether the allegation is proven and what was found through the investigation process. The findings of any investigations conducted by Gateway Qualifications will be communicated to the affected parties.

Outcomes and Sanctions

The action Gateway Qualifications may take includes, but is not limited to:

- Imposing actions on a Centre/Provider with specified deadlines, in order to address the instance of malpractice/maladministration and to prevent it from reoccurring
- Imposing sanctions on a centre/provider wherein these will be communicated in accordance with the Gateway Qualifications' Sanctions Policy, along with the rationale for the sanction(s) selected
- In cases where certificates are deemed to be invalid, informing the centre/provider concerned and the regulatory authorities why they are invalid, and any action to be taken for reassessment and/or for the revoking of any certificates
- Amending aspects of our qualification assessment or monitoring arrangements, and associated guidance, to prevent the event from reoccurring
- Refusing to accept registrations and/or assessment bookings.
- Stopping access to or suspending delivery of an assessment.
- Termination of the Centre terms and conditions/EPA agreement.

Invalidating claims for an apprenticeship certificate. Examples of sanctions that may be applied to Centres/Providers where malpractice or maladministration is found can be found in Gateway Qualifications' Sanctions Policy.

Anonymity and Confidentiality

Anonymous notifications will be considered but it may not always be possible to investigate them. If a person reporting a case of malpractice or maladministration asks to remain anonymous, please inform us that you do not wish for us to divulge your identity, if provided to us. Gateway Qualifications is not obliged (as recommended by the Regulators) to disclose information if to do so would be a breach of confidentiality and/or any other legal duty. We may need to disclose your identity to:

- The police, fraud prevention agencies or other law enforcement agencies.
- The courts (in connection with court proceedings).
- Another person to whom we are required by law to disclose your identity.

Where Centre/Provider staff or others have concerns about raising an issue or reporting their suspicions of malpractice or maladministration but are concerned to protect their interests, they are advised to follow their organisation's Whistleblowing Policy, if applicable. A whistleblower should also recognise that they may be identifiable by others due to the nature or circumstances of the disclosure.

Whilst we are prepared to investigate issues, which are reported to us anonymously and/or by whistleblowers, this may prove more difficult for us to do so. We shall always try to confirm the grounds of an allegation by means of a separate investigation, before taking up the matter with those to whom the allegation relates. Gateway Qualifications defines whistleblowers as being current or ex members of staff (both permanent or contracted), Gateway Qualifications' Board of Trustees and Committee members, wider workforce, providers or third-party suppliers of a centre of Gateway Qualifications and/or current or previous learners/apprentices.

Whistleblowing

Whistleblowing is a term used when an individual raises a genuine concern about suspected malpractice or wrongdoing and/or the covering up of malpractice or wrongdoing that they become aware of. The malpractice often affects others, for example the centre or other learners/apprentices. Whistleblowing is distinct from both complaints and employment disputes or grievances that an individual may have.

Note: Whistleblowing does not apply to either making a complaint or an appeal. A complaint is usually a grievance and could relate to poor administration or customer service. Appeals are generally made against the outcomes of assessment where it is felt that the gap between the expected and actual result is far greater than was anticipated.

Appeals

Recognised Centres/Providers and others have the right to make an appeal against Gateway Qualifications' decision to impose a sanction. Please refer to our Appeals Policy and Procedure or Access to HE Learner Appeals Policy.

Notifying relevant parties

Gateway Qualifications is required to report allegations of malpractice/maladministration to the relevant Regulator where there is a potential or actual Adverse Effect, or circumstances prescribe such a course of action. In such circumstances, the outcome of any investigation will be provided to the Regulator too.

Regulatory requirements also mean that where Gateway Qualifications has any cause to believe that an occurrence of malpractice or maladministration, or any connected occurrence:

- a) may affect a Centre undertaking any part of the delivery of a qualification which an awarding organisation makes available, it must inform that Centre, and
- b) may affect another awarding organisation, it must inform that awarding organisation.
- c) may have applied an advantage or disadvantage to an apprentice or group of apprentices undertaking EPA

Gateway Qualifications will immediately inform QAA of any significant incidents that occur where there is an actual or potential impact on students or an event may threaten the reputation of the Access to HE qualification, the Recognition Scheme or QAA, or that damages the goodwill or reputation in the Access to HE logo.

Gateway Qualifications may also inform other third parties, where appropriate (e.g. qualification funding bodies, student loan company) of our findings in case they need to take relevant action.

Where there is a credible allegation of suspected malpractice or maladministration that could constitute criminal activity, Gateway Qualifications will consider whether there is a requirement to notify the police or any other such relevant authority.

In all instances, Gateway Qualifications' will protect personal data and comply with data protection requirements, unless where it is legally required to do so.

Review arrangements and monitoring

Gateway Qualifications will periodically review this Policy and the associated procedures and revise as necessary. As part of the review consideration will be given to feedback received and regulatory/legislative requirements.

If you would like to feedback on any views on this Policy, please contact us via the details provided at the end of this document.

Gateway Qualifications' Quality and Standards and Access to HE Committees are responsible for monitoring the effectiveness of the application of this Policy. An annual summary is also submitted to the Board of Trustees for monitoring and ratification.

Legal and Regulatory References

UK regulators require all awarding organisations to establish and maintain their compliance with regulatory conditions and criteria. As part of this process, policies that relate to Gateway

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Qualifications' status as an awarding organisation will reference any conditions and criteria that they address.

This Policy addresses the following legislation and/or regulatory requirements:

Regulator or Relevant Governing Body	Reference Details	Legislation/Regulatory Reference
Ofqual	General Conditions of Recognition	Condition No: A4: Conflicts of Interest A8: Malpractice and maladministration B3: Notification to Ofqual of certain events C2: Arrangements with Centres D4: Responding to enquiries and complaints procedures G4: Maintaining the confidentiality of assessment materials, including the conduct of specified training
Qualification Wales	Standard Conditions of Recognition	Condition No: A4: Conflicts of Interest A8: Malpractice and maladministration B3: Notification to Ofqual of certain events C2: Arrangements with Centres D4: Responding to enquiries and complaints procedures G4: Maintaining the confidentiality of assessment materials, including the conduct of specified training
Qualification Assurance Agency	AVA Licencing Criteria	Criteria No: 9 Governance 21, 25 Planning and risk 51, 57: Provider approval and withdrawal of approval

Contact us

If you have any queries about the contents of the policy, please contact:

Telephone: 01206 911211
 Email: enquiries@gatewayqualifications.org.uk
 Post: Gateway Qualifications, Gateway House, 6 Tollgate Business Park, COLCHESTER, CO3 8AB

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Document Controls

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Version	9.2
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Revision History

Revision Date	Version	Updated By	Summary of Changes
May 2025	9.2	Centre Compliance Manager	<p>Policy transferred to the new policy document template.</p> <p>Statement added regarding precedence of a malpractice or maladministration investigation over a complaint.</p> <p>Revised and updated plagiarism examples.</p> <p>Notifying third parties: activity that may constitute criminal activity may be reported to the police.</p>