

Sanctions Policy and Procedure

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Introduction

As a regulated awarding organisation, Qualifi is responsible for ensuring that the qualifications and units that are delivered by Centres on our behalf are delivered to the required standards, referred to as the regulators (Ofqual) General Conditions of Recognition - [Ofqual's General Conditions of Recognition](#) can be found here. It is incumbent upon Qualifi as an Awarding Organisation that Learners are not misled or treated unfairly. Accordingly, we only approve Centres that comply with a set of criteria that enable us to fulfil our regulatory responsibilities, and we must be able to take action against any Centre that becomes non-compliant.

Tariff of Sanctions

We deal with non-compliance using a tariff of sanctions. The tariff aims to ensure that we deal with non-compliance in a transparent, consistent and proportionate way, and we will apply the tariff based on the evidence available to us. The purpose of sanctions is to correct non-compliant behaviour and deter future non-compliance. In this regard we will seek to work constructively with Centres to return them to compliance, by giving clear action plans including timescales by which the actions must be completed. However, we will suspend registration and/or certification, and withdraw Qualification and Centre Approval where necessary, normally if a Centre cannot or will not take necessary action or in serious cases of non-compliance. We may also notify the [Qualifications Regulators](#).

The tariff of sanctions is shown in Table 1 below. There are five levels of transgression, a rationale for each Level and the corresponding sanction. Table 2 gives examples of non-compliances for each Level and a link to the Centre Approval criteria. Notes on interpreting the tariff of sanctions follow Table 2.

Termination

We also reserve the right to terminate the Centre Approval agreement on summary notification in certain other circumstances, such as bringing Qualifi into disrepute. Examples of such circumstances are given at the end of this document.

Tariff of Sanctions

Table 1: Levels of Transgression

Tariff Level	Rationale	Sanction
1	No risk to the integrity of assessment outcomes.	Entry in Centre Action Plan.
2	A risk to the integrity of assessment outcomes which requires close external scrutiny.	Greater external scrutiny of delivery.
3	Loss of integrity of assessment outcomes and a risk to the proper and fair award of credit/qualifications or other Qualifi endorsed training programmes.	Suspension of Qualification Approval and suspension of registration and/or certification.
4	Irretrievable breakdown in the management, quality assurance and administration of specific qualifications or units and a risk to the proper and fair award of credit/qualifications.	Withdrawal of Qualification/Course Approval for specific qualifications.
5	Irretrievable breakdown of management and quality assurance of all qualifications or units and a threat to the proper and fair award of credit/qualifications.	Withdrawal of Centre Approval.

Table 2: Examples of Non-Compliance for Each Tariff Level

Level/Rationale /Sanction	Examples of Non-Compliance	Link to Centre Approval Criteria
<p>Level 1</p> <p>No risk to the integrity of assessment outcomes.</p> <p>Entry in Centre Action Plan.</p>	<p>Policies, procedures and assessment requirements are not clear or well understood by Assessors and/or quality assurance staff.</p>	<p>1.1; 1.2</p>
	<p>Job roles, responsibilities and accountabilities are not clear or well understood by Assessors and/or quality assurance staff.</p>	<p>1.3</p>
	<p>Quality assurance procedures and activities are not clearly documented.</p>	<p>1.2</p>
	<p>Communication within the delivery team is not effective. Communication with Qualifi is not effective.</p>	<p>1.1; 1.3; 1.4; 4.5; 5.2; 5.6; 5.7 1.5; 1.6; 2.4; 4.6; 5.3;</p>
	<p>Assessors do not have access to relevant training events or qualifications.</p>	<p>5.10</p>
	<p>Learners are not aware of their rights or properly supported. There is inadequate assessment planning.</p>	<p>2.1; 2.2; 2.3; 5.10 1.2; 2.4; 3.1; 3.2; 3.3; 3.4; 3.5; 4.3; 5.6</p>
	<p>Assessment methods do not encourage access for Learners.</p>	<p>2.1; 2.2; 4.5</p>
	<p>Changes to Assessors and quality assurance staff are not notified to Qualifi.</p>	<p>1.2; 2.4; 3.1; 3.2; 3.3</p>
	<p>There is inadequate monitoring and evaluation of resources, systems, policies and procedures.</p>	<p>1.5; 2.2</p>
	<p>Delivery staff do not declare conflicts of interest. There are insufficient physical resources to support learning.</p>	<p>1.2; 2.1; 2.2; 2.4; 5.6 1.5; 4.6</p>
	<p>The Centre does not contribute to Qualifi review of regulated and unregulated qualifications and units.</p>	<p>1.6; 2.1; 2.4; 2.5; 5.10 1.5; 5.4</p>
	<p>There are delays in providing registration and certification data.</p>	<p>5.1; 5.3</p>
	<p>Certificates are not stored securely or distributed promptly.</p>	<p>5.2</p>

<p>Level 2</p> <p>A risk to the integrity of assessment outcomes which requires close external scrutiny.</p> <p>Greater external scrutiny of delivery.</p>	<p>There are insufficient qualified, competent and suitable Assessors and/or quality staff.</p> <p>Assessors have insufficient time, resources or authority to perform their role.</p> <p>Assessment decisions are not consistent.</p> <p>The Centre does not inform Qualifi about cases of alleged or suspected malpractice.</p> <p>Learner evidence and Centre records are insufficient to allow audit of assessment and/or quality assurance.</p> <p>Appeals procedures are not followed.</p> <p>Registration and certification data is inaccurate.</p> <p>Corrective measures relating to Level 1 tariff have not been implemented.</p>	<p>1.1; 1.3; 2.2; 4.5; 4.6</p> <p>1.1; 2.1; 2.4; 5.10</p> <p>1.4; 2.4; 4.4; 4.5; 4.7; 4.8</p> <p>1.5; 1.6</p> <p>2.1; 2.2; 3.3; 4.1; 4.4; 4.5</p> <p>1.2; 1.3; 3.5; 5.6</p> <p>1.6; 5.2</p> <p>Report Malpractice to the Executive Board and review Centre Agreement</p>
<p>Level 3</p> <p>Loss of integrity of assessment outcomes and a risk to the proper and fair award of credit/ qualifications.</p> <p>Suspension of Qualification Approval and suspension of registration and/or certification.</p>	<p>Assessment processes disadvantage Learners.</p> <p>Assessment decisions are unfair.</p> <p>There are no qualified, competent and suitable Assessors and/or quality staff.</p> <p>The Centre fails to provide access to requested information, documents, staff, premises and Learners or fails to assist in investigations.</p> <p>Assessed evidence is not the authentic work of Learners.</p> <p>Records of assessment show serious anomalies. There have been breaches of confidentiality in assessment.</p> <p>There have been breaches in the security of data.</p> <p>Corrective measures relating to Level 2 tariff have not been implemented</p>	<p>2.4; 2.5; 3.1; 3.2; 3.3; 3.4;</p> <p>4.3 3.2; 3.5; 4.3</p> <p>1.3; 2.2; 2.3; 4.5; 4.6</p> <p>1.2; 1.5; 1.6; 2.1; 4.1; 4.2;</p> <p>4.6 4.1; 4.4; 4.5; 4.7; 4.8</p> <p>3.5; 4.7; 4.8</p> <p>4.3; 4.4; 4.6; 5.10</p> <p>1.6; 5.1; 5.2; 5.11</p> <p>Report Malpractice to Executive Board with a view to suspend qualification approval</p>

<p>Level 4</p> <p>Irretrievable breakdown in the management, quality assurance and administration of specific qualifications or units and a risk to the proper and fair award of credit/qualifications or Qualifi endorsed training programmes.</p> <p>Withdrawal of Qualification Approval for specific qualifications.</p>	<p>There are significant faults in the management, quality assurance and administration of a specific qualification which result in ongoing failure to meet the requirements for fair, valid and reliable assessment.</p> <p>Corrective measures relating to Level 3 tariff have not been implemented.</p>	<p>.1; 1.3; 1.4; 1.5; 1.6; 2.2; 3.5; 4.1 4.7; 4.8; 4.9</p> <p>Report Malpractice to the Executive Board with a view to withdraw specific qualification status.</p>
<p>Level 5</p> <p>Irretrievable breakdown of management and quality assurance of all qualifications or units and a threat to the proper and fair award of credit/qualifications.</p> <p>Withdrawal of Centre Approval.</p>	<p>There are significant faults in the management, quality assurance and administration of all qualifications which result in ongoing failure to meet the requirements for fair, valid and reliable assessment.</p> <p>Corrective measures relating to Level 4 tariff have not been implemented.</p>	<p>1.1; 1.3; 1.4; 1.5; 1.6; 2.2; 3.5; 4.1 4.7; 4.8; 4.9</p> <p>Report Malpractice and Maladministration to the Executive Board with a recommendation that Centre and Qualification Approval be implemented with immediate effect.</p>

Interpretation

The non-compliances in Table 2 are examples and should not be assumed to be a complete list; • tariff Level 4 and Level 5 would normally be associated with non-compliance across a range of Centre Approval criteria;

- the above sanctions represent a minimum tariff and there may be circumstances when a higher level of tariff is justified and applied;
- a combination of non-compliances at a particular level might call for a more serious response at a higher level; • a failure to implement corrective action at a lower level may invoke a higher level response; • a Centre may temporarily rectify non-compliances only to display the same weaknesses at a later date – the track record of a Centre will therefore contribute to the level of response;
- where the circumstances and nature of non-compliance indicate that malpractice has taken place, the Malpractice and Maladministration Policy and Procedure will be invoked.

Termination of Centre Approval Agreement

Qualifi reserves the right to terminate the Centre Approval Agreement on summary notification in other circumstances such as:

- The Centre brings Qualifi into disrepute by undertaking activity or advertising that misleads Users of qualifications or by misusing our logo,
- The Centre acts fraudulently or otherwise illegally or contrary to regulatory requirements,
- The Centre ceases to trade, becomes insolvent, goes into liquidation or has a receiver appointed,
- Control of the Centre changes,
- The Centre repeatedly fails to pay invoices on time,
- The Centre discloses confidential information about Qualifi,
- The Centre makes deliberate misleading statements in the Centre Approval application,
- The Centre breaches Qualifi's IPR,
- The Centre fails to register either any students or misleads Qualifi in relation to expected registrations or negatively deviates substantially from planned annual registrations by qualification and or level and/or cumulative activity.