



# Training Qualifications UK

## Sanctions Policy

2019



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Policy Owner	The Managing Director
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Approved By	Senior Management Team
Policy Relates to:	Awarding Provision, Endorsed Provision
Policy is for the use of:	TQUK Recognised Centres
Should be read in conjunction with:	Appeals Policy, Malpractice and Maladministration Policy

## Introduction

This policy is provided for Recognised Centres delivering Training Qualifications UK qualifications or units, who have failed to meet aspects of our delivery requirements and/or standards identified by the regulatory authorities, in respect of regulated qualifications and units. It explains the sanctions TQUK may impose on centres in such situations.

This policy is also for use by TQUK staff members to ensure they apply any sanctions in a consistent manner.

## TQUK Internal Responsibility

The Quality Assurance Department is responsible for the maintenance and compliance of this policy. If the Head of Quality and Compliance is absent, the Responsible Office will appoint another member of the Senior Management Team to ensure all TQUK actions and activities are in line with the content of this policy.

## Review Arrangements

We will review the policy annually as part of our self-evaluation process and revise it as and when necessary, in response to feedback from Recognised Centres, trends from our internal monitoring arrangements, changes in our practices, actions from the regulatory authorities or external agencies or changes in legislation.

The annual review of this policy will be undertaken by the Quality Assurance Department approximately four weeks prior to the submission of TQUK's Statement of Compliance to our regulators. Any amendments or updates to this policy will be approved by TQUK's Senior Management Team.

If you have any points or feedback regarding this policy, please contact us via the details provided at the start of this policy.

## **Centre's responsibility**

It is important that Recognised Centre staff members involved in the delivery of TQUK qualifications are fully aware of the contents of this policy and its possible implications on a centre. Recognised Centres should be aware of the consequences of a centre failing to comply with the requirements specified by TQUK, in relation to the delivery of our qualifications.

## **Ensuring the standards of TQUK qualifications and units**

TQUK has a responsibility to Learners undertaking our qualifications and the UK regulatory authorities' to ensure that centres deliver our qualifications and units in accordance with relevant national standards.

## **Approach to sanctions**

TQUK has a range of sanctions that can be imposed on a Recognised Centre depending on the seriousness of the situation, the level and track record of the centre's non-compliance and the risk to the interests of Learners and the integrity of the qualifications and units.

TQUK always aim to ensure that the application of sanctions is a last resort and through our approach to centre support and management, and the creation of appropriate action plans, we will work with Recognised Centres to prevent situations arising that would warrant a sanction being imposed. However, if sanctions are required then they will be applied depending on the nature of the situation. For example, if the centre has:

- Outstanding actions
- Poor records to confirm assessment decisions
- No lead quality officer/internal quality assurer in place
- Proven collusion or persistent bad marking of centre marked assessments
- Suspected or proven cases of maladministration/malpractice
- Made certification claims before Learners have completed the unit(s)/qualification(s)
- An increased likelihood of an adverse effect occurring (e.g., something that is likely to have an adverse effect on the standards of the qualifications they are delivering or public confidence in qualifications)
- Refused access to premises and/or records to the staff of TQUK or the regulatory authorities
- Been operating an unapproved subcontracting arrangement

It is important to note that the following are not classified as sanctions, but are standard practice for awarding organisations:

- When a Recognised Centre is first approved to offer TQUK qualifications, and/or if they have subsequently applied (and been approved) to offer further TQUK qualifications, any claims for certification may be delayed until the centre has received a minimum of two satisfactory EQA activities.
- Should a Recognised Centre refuse to pay outstanding fees after various contacts with TQUK's Finance team, TQUK may remove qualification approval and/or centre recognition with immediate effect. Such a decision would not be considered a sanction, but a business decision. TQUK may also take a business decision at any stage to remove centre recognition in line with our agreement with centres.

## **Sanctions that may be imposed**

Sanctions that may be imposed include the below:

- Removal of Direct Claims Status for all
- Removal of approval to register Learners for a qualification/s
- Removal of approval to request Learner certificates for a qualification/s
- Removal of Qualification Approval
- Removal of Centre Recognition

These sanctions could be applied in relation to:

- A single qualification
- An entire qualification sector
- An entire qualification type
- All qualifications

Such recommendations may be made following external quality assurance activities undertaken at the centre and/or following an investigation into a complaint or malpractice/maladministration investigation involving the Recognised Centre.

These recommendations will be reviewed by the Quality Assurance Department, who are responsible for overseeing the work of TQUK EQAs and for ensuring the appropriateness and consistency of their work. If there is clear evidence of non-compliance by the centre and/or a sufficient rationale, then a sanction will be imposed.

In all instances, the nature of the sanction and the rationale for its application will be communicated in writing to the centre.

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If a centre disagrees with the decision, they can contact TQUK's Quality Assurance Department and also use TQUK's appeals procedures.

Only in exceptional circumstances of extremely serious non-compliance or the persistent failure of the centre to address outstanding actions would TQUK impose the ultimate sanction of removal of approval in relation to:

- A single qualification
- An entire qualification sector
- An entire qualification type
- All qualifications in a centre
- The centre's relationship with TQUK

Should a centre have its approval for a qualifications removed, TQUK will take all reasonable steps to protect the interests of any learners currently registered on the qualification(s). For example, we will either certificate them for any achievements achieved to date and/or seek to transfer them - where possible and feasible - to another centre to enable them to carry on with their learning.