

Sanctions Policy
V2.1

Change history to V2.1

Date	Section	Change	Reviewed by	Signed off By
January 2024	All	Multiple changes due to annual review	S Trouten	R Lowbridge

Introductions

This Sanctions Policy is for all qualifications that are offered by SFEDI Awards. It relates to SFEDI Awards staff, approved centres, learners and any third parties accessing SFEDI Awards qualifications. This policy is subject to regular reviews and is maintained by its owner. Electronic copies are version controlled; printed copies are not subject to this control.

Change History

Section	Change
Policy Developed	First Draft of the Policy
Multiple changes	Updated at annual review, January 2023

Scope

This policy outlines SFEDI Awards arrangements for sanctions. SFEDI Awards has a responsibility to protect the interests of learner completing our qualifications to ensure that all centres deliver qualification in accordance with our requirements and standards which are regulated by OfQual, SQAA and Qualifications Wales.

The policy is aimed at all approved centres who are offering units and/or qualifications that are regulated. It is also used internally to ensure that any sanctions are dealt with consistently. Sanctions are outlined that could be imposed on centres that do not meet the standard that SFEDI Awards set for the delivery and assessment of qualifications and/or units.

Definitions

SFEDI Awards define sanctions as a punitive action that can be applied to an approved centre that do not meet with SFEDI Awards policies, procedures or guidance that may pose a risk to the integrity of the awarding organisation, sanctions can be applied against a centre, staff, learner or any third party.

Centre Responsibilities

All approved centres will be treated fairly and the policy applied consistently.

If an EQA has determined that an approved centre may need some extra assistance, they will identify actions that need to be completed and try and work with the approved centre to try and prevent any sanctions being imposed on the centre.

If an approved centre does not complete the actions that have been outlined, then a sanction may be imposed.

There are 3 types of sanctions that may be imposed on the centre

Low Risk Sanction	
Communication with SFEDI Awards is limited	A low-level sanction is identified as something that can be corrected quickly and easily and is deemed to have no effect on the learners. There is also no threat to the integrity of the qualifications offered by SFEDI Awards The centre may keep direct claims. The centre will be given a amber risk rating.
SFEDI Awards not notified of any staff changes	
Policies and procedures not effectively monitored	
IQA procedures not documented in sufficient detail	
Assessment resources unsuitable	
Learners not adequately informed of centres policies and procedures	

Medium Risk Sanction	
Previous low-level sanction not resolved	Medium sanction can be defined as an issue that has the potential to damage the integrity of the qualification or disadvantage the learner. There is a suspension on direct claims All certificate claims must go through SFEDI Awards. The centre will be given a red risk rating.
Records not made available on audit visits	
Lack of internal standardisation procedures	
Assessment decisions not consistent	
Trainee IQAs and assessors' decision not countersigned	

High Risk Sanction	
Serious breach in Health and Safety guidelines	High sanction is a serious breach of standards and integrity of the qualification has been compromised. Direct Claims will be stopped immediately and further investigations will take place to see if the centre is to remain approved. The centre will be given a red risk rating.
No IQA in place	
Assessment is not authenticated	
Breakdown of management systems and or assessment procedures	

Sanctions on individuals

Should an individual tutor, assessor, IQA or another person be found to have committed malpractice then sanctions may be applied that could lead to

- The approved centre in question not being able to use the individual.
- No approved centres being able to use the individual for a period of time or permanently

Investigation Process

Where necessary SFEDI Awards will undertake further investigations to better understand the nature of the high risk sanction that has occurred.

It will seek information, intelligence and data from the centre and any other parties involved to establish the full nature of the breach of standards and to determine the risk of recurrence.

SFEDI Awards will review all evidence received within 2 weeks and provide a written response detailing the outcome to the centre involved.

SFEDI Awards will take all necessary steps to ensure learners are not disadvantaged as a result of these sanctions.

Should the centre approval status be revoked, or serious breach of standards be identified, we will notify the appropriate Regulator and other AO's.

Appealing a decision

If any centre would like to formally dispute or appeal any decision the appeals policy, procedures and forms will be used. Centres have 1 week to submit their appeal in writing.

Other related Policies and Documents

- SFEDI Awards Centre Agreement
- SFEDI Awards Assessment Policy

Contact Us

If you have any queries about the content of this policy, please contact our customer service department. SFEDI Awards 19 Victoria Road, Darlington, County Durham, DL1 5SF
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