

BIIAB Qualifications Sanctions Policy V1 June 2018

Contents

Policy Overview.....	3
Approach to Sanctions.....	3
Types of sanctions that may be applied.....	3
Sanctions specific to Centres.....	4
Sanctions Specific to Centre Staff.....	4
Sanctions specific to Learners.....	5
How we will notify you of the sanction.....	5
Policy Review Arrangements.....	5
Action Plan Guidance.....	6

BIIAB Qualifications has a responsibility to maintain the standard of our qualifications and protect the interests of learners completing our qualifications to ensure that Centres deliver qualifications in accordance with our requirements.

This policy outlines the sanctions that we may impose on Centres that fail to meet delivery requirements and the standards we set for the delivery and assessment of our qualifications.

Centres and learners should familiarise themselves with contents of this policy and the implications should there be a failure to comply with our requirements. This policy is used by BIIAB Qualifications staff and EQA's to ensure the application of sanctions is consistent.

Approach to Sanctions

BIIAB Qualifications aims to ensure that the application of sanctions is a last resort by working with Centres to prevent situations arising that would warrant a sanction being imposed.

However, we have a range of sanctions that can be imposed on a Centre, Centre staff and learners depending on the seriousness of the situation, the level of non-compliance, and the risk to the interests of Learners and the integrity of the components and qualifications.

The aim of any sanction imposed will be to minimise the risk to the integrity of all aspects of our awarding functions, the standard of our qualifications and the risk to learner's interests.

In some cases, it may be necessary to impose a sanction on a Centre, a member of Centre staff or a learner to protect the integrity of a qualification involved in an allegation of malpractice or maladministration. This action would be taken to enable us to investigate the allegation.

Types of sanctions that may be applied

This policy provides examples of circumstances and situations that may lead to a sanction and indicates the level of sanction that could be imposed. This is not an exhaustive list and we will review each case on an individual basis.

As part of our business as usual external quality assurance monitoring activities, an EQA may determine that a Centre needs additional support and may identify actions that it needs to complete. In such cases, we will work with a Centre to prevent any situations arising that would warrant the application of a sanction.

However, should a Centre fail to complete the actions or, if an EQA identifies something further that would threaten the integrity of awards, this could result in a sanction being imposed.

When we impose sanctions, we do this by applying a level that relates to the type of sanction.

Level 2	Removal of direct claims status
Level 3	Suspension of registration and/or certification
Level 4	Temporary suspension or permanent withdrawal of Centre approval for specific qualifications
Level 5	Temporary suspension or permanent withdrawal of Centre approval

Where we suspect, or have proven evidence, that a serious malpractice and/or maladministration incident has taken place by a member of Centre staff or a learner, we may place a temporary or permanent sanction on that member of staff/learner.

In the section titled Action Plan Guidance you will find a list of examples that could result in a sanction being imposed. This list is not exhaustive.

Below you will find examples and descriptions of situations that may arise and the indicative sanction that could be imposed as a result. The list of sanctions is not exhaustive, and each case will be reviewed and dealt with on an individual basis.

Sanctions specific to Centres

Area of Concern	Indicative Sanction
Failure to maintain standards in assessment and/or internal quality assurance processes	Removal of Direct Claim Status, Suspension of registration and/or certification, temporary Centre suspension or permanent withdrawal of Centre approval
Non-compliance with our requirements in relation to registration and/or certification	Suspension of registration and/or certification
Non-compliance with our requirements in relation to assessments including online, offline, paper-based and controlled assessments	Suspension of registration and/or certification including the release of results and any other specific entry requirements
Failure to comply with the BIIAB Qualifications Centre Contract	Temporary Centre suspension or permanent withdrawal of Centre approval
Failure to communicate with and respond to communications from BIIAB Qualifications	Temporary Centre suspension or permanent withdrawal of Centre approval
Failure to co-operate with investigations undertaken by or on behalf of BIIAB Qualifications	Temporary Centre suspension or permanent withdrawal of Centre approval

Sanctions Specific to Centre Staff

Area of Concern	Indicative Sanction
Centre staff failure to maintain standards and/or to meet our requirements in assessment and/or internal quality assurance processes	Temporary or permanent suspension from involvement in the administration/delivery/assessment/verification/invigilation of our qualifications and assessments. Imposition of special conditions for a staff member's involvement in the administration/delivery/assessment/verification/invigilation of our qualifications and assessments. We may also require that a staff member (s) commit to training (at a Centres cost) as directed by us before the sanction is lifted.
Failure to adhere to BIIAB Qualifications examination and invigilation requirements	Temporary or permanent suspension from involvement in the administration/delivery/assessment/verification/invigilation of our qualifications and assessments. Imposition of special conditions for a staff member's involvement in the administration/delivery/assessment/verification/invigilation of our qualifications and assessments. We may also require that a staff member (s) commit to training (at a Centres cost) as directed by us before the sanction is lifted.

Sanctions specific to Learners

Area of Concern	Indicative Sanction
Under the broad classification of cheating: Plagiarism of any nature Collusion Falsification or fabrication of assessment evidence Any form of impersonation Any form of cheating to gain an advantage	Barring a learner from registering on a qualification at any Centre for a set period of time. Temporary and/or permanent disqualification from the qualification(s) involved or wider disqualification. Disallowing all or part of a learner's marks for that specific test or assessment. We may require the learner to be re-entered for an assessment that would be invigilated by an invigilator appointed by us at a cost to the Centre.
Failure to obey invigilator or assessor instructions during an assessment or test.	Disallowing all or part of a learner's marks for a specific online, assessment. We may require the learner to be re-entered for a test or assessment that would be invigilated by an invigilator appointed by us at a cost to the Centre.

How we will notify you of the sanction

When a sanction is recommended we will inform you by telephone (or face to face during a visit) providing an explanation of the type of sanction that has been applied or will be applied and the reason why. The verbal confirmation will be followed up by a written notification either by email or letter.

If we require you to take any action, we will outline what it is you need to do to resolve the matter and the deadline in which it must be completed. Any sanction imposed will remain in place until we are reassured that there has been satisfactory resolution and any potential or adverse effect has been mitigated.

BIIAB Qualifications has a duty of care to protect the interests of its learners and, when imposing a sanction, we consider the impact of this action carefully and, where necessary, will take steps to ensure that learners are supported during the period a sanction is imposed.

If a sanction has been imposed because you are not responding to communications or correspondence from us, we will take reasonable steps to inform you of the sanction. All attempts made to contact you will be retained as evidence to support the application of the sanction.

You have the right to appeals against a sanction that we impose and information on how to do this can be found in our published Appeals Policy.

Policy Review Arrangements

This policy is subject to a three-year review cycle, or earlier should any feedback or concern be brought to the attention of BIIAB Qualifications, to ensure it remains fit for purpose and the process and its outcomes are deliverable.

It is also reviewed as part of BIIAB Qualifications continuous improvement monitoring through its annual self-assessment arrangements.

Action Plan Guidance

The below table is for guidance and provides examples that are not exhaustive and should be read in conjunction with the policy information for sanctions specific to Centre's, Centre staff and learners.

A sanction may be applied as a preventative measure to protect the interests of learners and potential learners, a breach of contractual arrangements with BIIAB Qualifications or failure to communicate with us.

Whilst an action is not a sanction, the table includes examples of circumstances that may lead an EQA to require an action plan to be put in place at a Centre to mitigate any concerns highlighted during normal quality assurance activities. It should be noted that in some circumstances the below could result in a sanction being imposed if any actions put learners at risk.

Non-compliance issue	Sanction	Rationale
Centre's aims, policies and assessment practices, and responsibilities of personnel are not clear or well understood by assessment team Internal verification procedures and activities not clearly documented Communication within the assessment team and with the awarding body is ineffective Equipment and accommodation do not comply with health and safety acts Insufficient qualified assessors Assessors/IQAs do not have adequate development plans Learners are not aware of their rights and responsibilities, e.g. no appeals procedure for learners There is inadequate assessment planning with learners Queries are not resolved or recorded Range of assessment methods is insufficient to encourage access Changes to personnel of the assessment and verification team are not notified to the Awarding Organisation	Level 1 Entry in action plan	Non-compliance with Centre Approval Criteria but no threat to the integrity of assessment decisions
Non-compliance issue	Sanction	Rationale
Assessors have insufficient time, resources or authority to perform their role Decisions of unqualified assessors have not been countersigned by qualified assessor Assessment decisions are not consistent Insufficient qualified IQAs Decisions of unqualified IQAs have not been countersigned by qualified IQA Records are insufficient to allow audit of assessment Previously agreed corrective measures relating to level 1 are not implemented	Level 2 Removal of direct claims status, i.e. claims for certification must be authorised by the EQA	Close scrutiny of the integrity of assessment decisions required

Non-compliance issue	Sanction	Rationale
<p>Assessment process disadvantages learners Assessment decisions are unfair No qualified internal verifier Assessment does not meet national standards The Centre fails to provide access to requested records, information, learners and staff Assessed evidence is not the authentic work of learners Records of assessment show serious anomalies Certification claims made before all the requirements of assessment are satisfied Previously agreed corrective measures relating to level 2 non-compliance are not implemented</p>	<p>Level 3A/3B Suspension of registration/certification</p>	<p>3A - threat to learners 3B - loss of the integrity of assessment decisions - danger of invalid claims for certification</p>
Non-compliance issue	Sanction	Rationale
<p>Significant faults in the management and quality assurance of the qualification programme which result in an ongoing failure to meet the core requirements for the conduct of assessment. Previously agreed corrective measures relating to a level 3 non-compliance have not been implemented</p>	<p>Level 4 Withdrawal of Centre approval for specific NVQs</p>	<p>Irretrievable breakdown in management and quality assurance of specific qualifications</p>
Non-compliance issue	Sanction	Rationale
<p>Significant faults in the management and quality assurance of all qualification programmes Previously agreed corrective measures relating to a level 4 non-compliance have not been implemented</p>	<p>Level 5 Withdrawal of Centre Approval for all qualifications</p>	<p>Irretrievable breakdown in management and quality</p>