

# ASDAN Sanctions Policy

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# ASDAN Sanctions Policy

## Section 1 – Overview of the policy

### 1.1 Purpose of the policy

The purpose of ASDAN's sanctions policy is to set out the range of sanctions that will be applied to centres and third parties that are suspected or have been proved to have contravened ASDAN regulations.

The aim of applying sanctions is to:

- Minimise the risk to the integrity of all aspects of ASDAN's awarding functions, specifically the awarding of results and certificates
- Protect the interests of learners who may be adversely affected by a centre's action or failure to act in line with ASDAN's requirements
- Allow ASDAN time to investigate incidences of suspected maladministration/malpractice while maintaining the integrity of the qualification involved

This policy has been written to support ASDAN's policy on malpractice and maladministration, which should be referred to for information regarding the procedures relating to cases of malpractice/maladministration.

### 1.2 Communication of the policy

It is important that all staff involved in the assessment and quality assurance of ASDAN qualifications are fully aware of the contents of this policy.

### 1.3 Review of the policy

The policy is reviewed annually and revised as necessary in relation to feedback from centres, changes in ASDAN practices or regulations, or changes in legislation.

## Section 2 – Examples of issues and sanctions

### 2.1 Circumstances under which a sanction may be applied

As an awarding organisation, regulated by Ofqual, Qualifications Wales and CCEA, ASDAN is required to ensure that all centres registered to deliver qualifications fully meet ASDAN's terms and conditions and the criteria for centre approval.

If at any stage a centre is found to be not fully meeting ASDAN's requirements, steps will be taken to support the centre. If this is not successful due to set actions not being met, or if there is a threat to the integrity of assessment decisions, then sanctions will be applied.

To ensure transparency and consistency of the application of sanctions, this policy gives examples of situations that could lead to a sanction and indicates the level of sanction that may be applied. Please note that this is not an exhaustive list and each case will be reviewed on an individual basis.

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## 2.2 Types of sanctions (list is not exhaustive)

Issue	Possible Sanctions	Further Action
Late candidate registration, additions or withdrawals or cancellation of moderation	Additional fees	Further instances will result in the centre being audited
Inaccuracies in candidate submissions for external moderation, so as to compromise the requested sample	Additional fees Moderation suspended pending additional sampling and/or further information	Centre selected for audit
Non-completion of Centre Approval process	Centre unable to access moderation	Qualification registration removed
Failure to maintain standards in relation to assessment and internal moderation	Removal of Direct Certification Status for a defined period Centre unable to access moderation Mandatory action plan/training and monitoring	Qualification registration removed Centre Approval removed Centre selected for audit Suspension of staff from involvement in specified qualification/s
Continued failure to co-operate with ASDAN request, e.g. for information or to allow auditor to undertake a centre visit	Removal of Centre Approval	Removal of ASDAN registration status
Evidence of malpractice or serious irregularity	Removal of Direct Certification Status for a defined period Centre unable to access moderation Mandatory action plan and monitoring Withdrawal of certificates	Removal of ASDAN registration status Regulators/other Awarding Organisations notified Disqualification of candidates from further moderation
Non-payment of invoice	Certificates withheld Action taken in line with ASDAN's invoicing policy (9. Credit Control)	Legal action taken to recover the debt

## Section 3 – Applying a sanction

### 3.1 Communication of necessary sanctions

Centres will be notified in writing if a sanction is applied, explaining the type of sanction and the reasons for applying it.

Centres will be informed of their right to appeal against any sanction imposed.

### 3.2 Actions required by centres or third parties

Any action required to be taken by the centre or third party will be outlined in the communication made to centres or third parties, with an indication of relevant timescales.

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If an investigation is required, e.g. because an allegation of malpractice has been made in relation to any aspect of a centre's delivery or assessment of an ASDAN's qualification, this will be completed in line with our Policy and Procedures on Malpractice and Maladministration. A copy of the policy can be downloaded from the secure area of the ASDAN website.

Sanctions will remain in place until such time that the issue is resolved or further information is received which affects any necessary investigation.

### 3.3 Candidates

The impact on candidates will be carefully considered when imposing sanctions upon a centre and ASDAN will take any appropriate steps to support candidates through this time.

### 3.4 Appeals

Centres and third parties have the right to appeal a sanction that is applied. Appeals must be made in writing stating the grounds on which the appeal is based. Please refer to the Enquiries and Appeals policy available in the secure area of the ASDAN website.

## Section 4 – Next Steps

### 4.1 Reviewing the decision to impose a sanction

Sanctions will remain in place until such time that:

- The issue has been satisfactorily resolved
- An appeal from a centre has been successfully upheld

Please note that the sanction applied may be reduced as a result of the above but ASDAN reserves the right to maintain a sanction to protect the integrity of our awarding functions.

Likewise, as a result of information received as part of any investigation, a higher sanction than originally communicated may be applied. If this is the case, the process outlined in Section 3 will be followed.

Centres or third parties will be contacted in writing to notify of any change to an applied sanction.

### 4.2 Follow up actions

If a sanction is imposed on a centre, ASDAN may notify other Awarding Organisations and/or the Regulators. It will be made clear in all such notifications whether the sanction has been imposed because of a suspected or alleged issue, or because of a proven issue.

Records of sanctions will be retained confidentially within ASDAN's centre file. Sanctions applied will be reported on at regular Quality Assurance Managers meetings, to senior managers and Trustees.