

## **Sanctions Policy**

### **Section 1 Overview of the policy**

#### **1.1 Scope of the policy**

This policy covers the delivery, assessment and quality assurance of UAL Awarding Body qualifications and has been designed to:

- Protect the students who are registered on our qualifications
- Minimise the risk of an Adverse Effect occurring
- Help support UAL Awarding Body in risk management and risk minimisation
- Help ensure our centres comply with UAL Awarding Body policies and procedures and relevant legislation
- Help improve and refine the UAL qualifications and service

UAL Awarding Body is committed to ensuring that students taking its qualifications have the best possible learning experience, and have appropriate opportunities to achieve at the highest possible level.

In order to do this, UAL Awarding Body has in place a Centre and qualifications approval process to confirm that a Centre wishing to deliver its qualifications has the appropriate resources, systems and processes.

This process culminates in the completion of signed, enforceable agreements at both Centre and qualification level in which the Centre declares that it will comply with the requirements of UAL Awarding Body, which are informed by our regulators and best practice.

To support high quality delivery in its Centres, UAL Awarding Body has a series of policies and procedures to which Centres must adhere.

#### **1.2 Purpose of the policy**

UAL Awarding Body's Sanction policy sets out and explains a range of actions that may be applied in relation to Centres that are suspected, or have been proven, to have not adhered to the Centre Agreement, regulations, policies and/or procedures. The type of actions are referred to as 'Sanctions.'

- Sanctions are applied proportionately against the incident/event that has occurred and/or the frequency of reoccurrence.
- Sanctions are applied to assist the Awarding Body in minimising the risks of Adverse Effects and of maladministration and malpractice.

The policy aims to ensure a transparent and objective process is followed when determining whether and how a sanction should be applied and outlines the steps to be taken by both the Centre and the Awarding Body in all cases.

## **Section 2 Sanctions**

### **2.1. What are sanctions?**

Where a Centre has failed to comply with the UAL Awarding Body Centre Agreement; policies, procedures or instructions, sanctions may be applied.

Sanctions are applied to:

- Ensure the integrity of assessment decisions made
- Minimise the risk to the integrity of all aspects of UAL's regulated functions, specifically in relation to awarding and certification

The aim of any sanction is to protect the integrity of the qualification, to protect the learner, and to prevent or minimize any adverse effects. Consequently, each case is assessed on a case-by-case basis and sanctions are imposed at a level commensurate with the level of risk.

The definition for an Adverse Effect is defined by the regulators in the following terms:

'An act, omission, event, incident or circumstance has an Adverse Effect if it:

- (a) Gives rise to prejudice to Students or potential Students; or
- (b) Adverse affects –
  - (i) The ability of the awarding organisation to undertake the development, delivery or award of qualifications in accordance with its Conditions of Recognition
  - (ii) The standards of qualifications which the awarding organisation makes available or proposes to make available
  - (iii) Public confidence in qualifications

Should UAL Awarding Body fail to meet the obligations under the Conditions of Recognition, including those relating to notification of Adverse Effects and in relation to maladministration and malpractice, UAL Awarding Body are required to notify the regulators.

### **2.2 How are sanctions applied?**

UAL Awarding Body operates an annual monitoring procedure across all approved Centres at qualification level, whereby the outcome of each external moderation visit determines the risk band rating for the assessment and quality assurance of each UAL qualification being delivered by the Centre.

At the lowest level, timed actions are applied with the approval of the Chief Examiner and UAL Awarding Body Quality Team. Higher level sanctions ('B' and above) are applied at the discretion of the Chief Examiner and with the approval of the Senior Management Team.

Sanctions are applied using the Tariff table in 2.3. They are applied proportionately to reflect the seriousness of the incident or event which has taken place. When deciding the appropriate sanction, UAL Awarding Body will consider factors such as the actual or potential risk to the integrity of UAL qualifications and/or the scale of the incident or event.

### 2.3 UAL Awarding Body Sanctions Tariff for the assessment and quality assurance of UAL qualifications:

Sanction	Description	Rationale
A	Action Points Set	<p>Action(s) needed within a defined period of time for improvement in one or more specific area of performance and/or to meet quality standards.</p> <p>Actions may include; additional moderation/advisory visits and compulsory training for Centre staff.</p>
B	Escalation to Centre Senior Management	<p>Limited confidence in delivery, assessment or resources.</p> <p>Failure to meet previously set action points and/or non-compliance with quality standards.</p>
C	Development Visit or Advisory Visit (on a full cost recovery basis)	<p>Non-compliance with Centre Agreement or lack of, or inadequate response to action points.</p> <p>Concerns for the integrity of assessment decisions requiring closer scrutiny.</p> <p>Limited confidence in specific area(s) of under-performance and/or non-compliance with quality standards.</p>
D	<p>(a) Suspension of student registration</p> <p>(b) Suspension of student certification</p>	<p>(i) Direct risk to students</p> <p>(ii) Loss of the integrity of assessment decisions – risk of invalid claims for certification.</p>
E	Withdrawal of centre approval for specific qualifications	<p>Irretrievable breakdown in management and quality assurance of specific qualifications</p> <p>Significant failings in the management, delivery, assessment and/or quality assurance of specific qualification(s).</p>
F	Withdrawal of centre approval for all qualifications (Termination of Centre Agreement)	<p>Irretrievable breakdown in management and quality assurance of all qualifications run by the centre</p> <p>Irretrievable breakdown in management, delivery, assessment and/or quality assurance of all qualifications.</p>

## **2.4 How are sanctions notified?**

UAL Awarding Body will inform Centres in writing to the nominated Centre contact, where the type of sanction will be explained in detail and how it will be applied, and the reasons why.

Centres must comply with the terms of any sanction imposed within the timeframes specified by UAL.

## **2.5 How long do sanctions remain in place?**

Sanctions must remain in place until such time as UAL Awarding Body has notified the Centre in writing that the sanction has been lifted. Sanctions may be changed or lifted where:

- the issue has been satisfactorily resolved;
- further information has come to light that may require an adjustment to the sanction that has been applied;
- the investigation into the issue has concluded and there is no longer a need to have a sanction in place

## **3. Confidentiality and Disclosure**

UAL Awarding Body may need to access confidential information. All information will be kept secure and only used for the purposes of the investigation and in line with relevant data protection legislation. Information will not be disclosed to third parties unless required to do so, e.g. to our regulators and / or the Police or other relevant and / or Statutory Bodies.

As part of the regulatory requirements, UAL Awarding Body must inform the regulators when certain sanctions have been applied. The notification will be dependent on the seriousness of the matter, as it may have an impact on the Awarding Body's ability to remain compliant with the needs of the regulators.

## **4. Contacts**

If you have any queries about the contents of the policy, please contact our UAL Awarding Body quality team.

**Email:** [quality.awarding@arts.ac.uk](mailto:quality.awarding@arts.ac.uk)

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