



Sanctions Policy

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Approved by: Executive Leadership
Date approved: 30/11/2024

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V0.1	12-2024	Final review and approval by Executive Team

1. Policy Principles

This policy outlines UK Awards' approach to considering and applying sanctions. It ensures a fair, consistent, and transparent process in determining when a sanction should be applied and the subsequent steps taken. The policy aligns with relevant regulatory frameworks and internal policies. Failure to adhere to this policy may constitute maladministration, malpractice, or a breach of agreement, resulting in sanctions.

2. Introduction

2.1. Purpose

The purpose of this policy is to:

- Ensure a structured approach to imposing sanctions.
- Maintain compliance with UK regulatory bodies such as Ofqual.
- Uphold the integrity and validity of qualifications awarded by UK Awards.
- Protect learners and maintain confidence in our awarding processes.

2.2. Scope

This policy applies to:

- Centres, their staff, and learners registered with UK Awards.
- External stakeholders engaged in delivering our qualifications.
- Any third-party entities operating on behalf of UK Awards.

2.3. Responsibilities/Duties

UK Awards is responsible for:

- Implementing and overseeing this policy.
- Ensuring compliance with regulatory frameworks.
- Applying sanctions proportionately and fairly.

Centres must:

- Comply with all policies and procedures outlined by UK Awards.
- Cooperate with any investigations related to malpractice or maladministration.
- Implement corrective actions where required.

3. Overview of Sanctions

3.1. What are Sanctions and Why We Apply Them

Sanctions are measures imposed on centres, staff, or learners when:

- There is non-compliance with regulations or policies.
- Maladministration or malpractice is identified.
- The integrity of assessments or awarding functions is at risk.

3.2. How We Decide to Apply a Sanction

Sanctions are applied based on:

- The severity and frequency of the breach.
- The risk to assessment integrity and learner outcomes.
- Evidence gathered through investigations.

3.3. Notification of a Sanction

Centres will be notified in writing when a sanction is imposed. This will include:

- The reason for the sanction.
- The actions required to address the issue.
- The timeline for compliance.

3.4. Actions Required from Centres

- Centres must comply with all sanction-related requirements within the specified timeframe.
- Failure to comply may lead to escalated sanctions, including withdrawal of centre approval.

3.5. Sanctions Affecting Learners

- Where learners are directly impacted, UK Awards will take necessary steps to support them.
- Learners may also face sanctions if found responsible for malpractice.

3.6. Duration of Sanctions

Sanctions may remain in place until:

- The issue is resolved satisfactorily.

- Additional information leads to adjustments.
- Investigations conclude, confirming compliance.

4. Complaints and Appeals

Centres and learners have the right to appeal a sanction under the Appeals Policy. Appeals must be submitted in writing with supporting evidence. Complaints unrelated to sanctions should follow the Complaints Policy.

5. Equality Impact Assessment

This policy has been reviewed to ensure compliance with equality and diversity regulations.

6. References to Associated Documents

- Malpractice and Maladministration Policy
- Appeals Policy
- Complaints Policy

7. Implementation and Dissemination

- This policy is available on the UK Awards website.
- It will be communicated to all relevant stakeholders.

8. Monitoring Arrangements

- The UK Awards Compliance Board will review sanctions monthly.
- An annual review of this policy will be conducted.

9. Data Retention

- All sanction-related data will be retained as per GDPR and UK Awards' data retention policies.
- Data will be securely stored and disposed of in accordance with regulations.

10. Contact Information

For further inquiries regarding access arrangements and reasonable adjustments, please contact:

Email: info@ukawards.org.uk