



ENERGY & UTILITIES
INDEPENDENT
ASSESSMENT SERVICE

Skills for a greener world

EUIAS Sanctions Policy

Version 1.2

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Purpose

This policy outlines what constitutes a sanction at different levels, and how we may impose a sanction on a Centre, Employer or a Learner, that fails to meet our requirements for the delivery of qualifications, including end-point assessments, for which the Centre is approved.

Our policy ensures the transparent, proportionate and consistent application of sanctions.

Scope

We have a responsibility to:

- protect the interests of learners
- ensure the integrity and quality assurance of our qualifications, including end-point assessments, so that they are delivered in accordance with our requirements and those of the respective Regulator
- prevent fraud.

We record activity, incidents, malpractice and maladministration which could have an adverse effect, as part of our monitoring of performance and Centre compliance.

When a sanction is imposed, we will work with the Centre or Employer or learner to implement an Action Plan to address the root cause(s) of the sanction and remedy the situation, where possible, so that the sanction can be removed.

Use of Sanctions

Sanctions can be imposed on a Centre or Centre staff, an Employer or a Learner that have not followed the requirements in our Centre Agreement, Centre Handbook or our policies. The sanction imposed will depend on the seriousness of the situation, and other relevant circumstances.

The aim of any sanction imposed is to minimise the risk to the validity of all aspects of qualifications; including the end-point assessments, and the risk to learners' interests.

In certain circumstances following an investigation, we may need to revoke certificates that have already been issued. If this is the case, the Centre must work with us to reclaim the certificates issued, including where the Centre has already forwarded to the learner.

In some cases, imposing a sanction will enable us to investigate suspected malpractice or maladministration whilst maintaining the integrity of qualifications, including end-point assessment. Our Malpractice and Maladministration Policy is available on the EUIAS website, should you require further information.

Types of sanctions and how they could be applied

The table below provides examples of situations that may lead to a sanction at Centre or qualification level and the associated action plan. We will consider each case on an individual basis and determine any sanction and associated action plan on the basis of the severity of the issue, the number of learners affected or potentially affected, the qualification involved and any other action plans or sanctions already in place or previously identified. Therefore this is not an exhaustive list.

The purpose of an action plan is to outline what must be done and by whom, to resolve the matter and the deadline for completion. The sanction will remain in place until we are assured that there has been satisfactory resolution and any potential adverse effect has been mitigated. A sanction level may be high without going through lower levels, depending on the severity of the issue, or multiple issues or recurrences of the same issue over a period of time.

If the sanction has been imposed because the Centre has not responded to communications or correspondence from us, we will take all reasonable steps to inform the Centre of the sanction.

Centres have the right to appeal against a sanction that has been imposed and information on how to do this can be found in the Appeals Policy available on the EUIAS website.

Sanctions specific to Centres and Employers

Area of Concern	Indicative Sanction and Actions
<ul style="list-style-type: none"> • Failure to maintain standards in assessment and/or internal quality assurance processes including supporting learners to prepare for qualification activities, including end-point assessment. • Non-compliance with EUIAS requirements in relation to Gateway eligibility requirements or other documents required for EPA, including persistent late submission of documents. • Non-compliance with EUIAS requirements in relation to monitoring of centre policies, processes, or the administration of knowledge assessments, practical observations or assignments including invigilation. • Failure to liaise effectively with third parties or Employers involved in delivery of qualifications including EPAs. • Failure to respond to communications from EUIAS or to provide relevant information, for example to the External Quality Assurer in the specified timescale and payment requests. 	<p>Level 1 sanction: Formal written warning/ notice to improve with action plan and timescale which must be completed by the Centre.</p>
<ul style="list-style-type: none"> • Recurrence of issues listed above after application of Level 1 sanction. • Non-compliance with EUIAS requirements for the qualification assessment decisions and quality assurance processes. 	<p>Level 2 sanction: Inspection visit or formal meeting with a senior member of staff and an agreement for an Action Plan. Increased Centre risk rating leading to increased level of EQA scrutiny and EQA sign off for certificates claims required until sanction removed.</p>

<ul style="list-style-type: none"> • Failure to co-operate with EQA activity or investigations undertaken by or on behalf of EUIAS. • Issues of malpractice or maladministration. • Failure to maintain learner records or copies of learner evidence for specified period. 	
<ul style="list-style-type: none"> • Recurrence of issues listed above after application of Level 2 sanction. • Limited or no progress made on the Action Plan within the timescale required. 	<p>Level 3 sanction: Suspension of future registrations for the qualification or end-point assessment. Additional EQA activity and support to ensure qualification integrity.</p>
<ul style="list-style-type: none"> • Recurrence of issues and lack of action in the assessment and quality assurance of EUIAS qualifications after application of Level 3 sanction at qualification level. 	<p>Level 4 sanction: Removal of qualification approval, notification to Ofqual and other Awarding Organisations and learners transferred to other Centre(s).</p>
<ul style="list-style-type: none"> • Recurrence of issues listed above after application of Level 2 sanction. • Failure of Centre management to address the issues and/or complete the Action Plan • Proven malpractice. 	<p>Level 5 sanction: Removal of Centre approval, notification to Ofqual and other Awarding Organisations.</p>

Sanctions Specific to Individual Staff

Area of Concern	Indicative Sanction
Staff failure to maintain standards and/or to meet EUIAS requirements in qualification delivery, assessment and/or internal quality assurance processes.	Temporary or permanent suspension from any involvement in EUIAS qualifications, including end-point assessments. Imposition of special conditions for a staff member's involvement in EUIAS qualifications, including end-point assessments, for example countersigning assessment decisions or quality assurance paperwork, supervision by another member of staff, training and development programme initiated.
Failure to adhere to EUIAS invigilation rules and requirements.	

Sanctions specific to Learners

Area of Concern	Indicative Sanction
Plagiarism of any nature Collusion Falsification or fabrication of qualification or end-point assessment evidence Any form of impersonation Any form of cheating to gain an advantage	Disallowing all or part of a learner's marks for that specific qualification or assessment. EUIAS may require the learner to re-sit the assessment at a cost to the Centre or Employer.
Failure to obey invigilator or assessor instructions during an assessment.	

How we will notify you of the Sanction

When a sanction is recommended, we will inform you by telephone* 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 any action to be taken, the requirements to be done

to resolve the matter will be outlined including the deadline by which it must be completed. Any sanction imposed will remain in place until we are assured that there has been satisfactory resolution and any potential or adverse effect has been mitigated.

We have a duty of care to protect the interests of learners when imposing a sanction, and therefore 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 a Centre is not responding to communications or correspondence from us, we will take reasonable steps to inform a Centre of the sanction. All attempts made to make contact will be retained as evidence to support the application of the sanction.

A Centre has the right to appeal against a sanction that we impose and information on how to do this can be found in the EUIAS published Appeals Policy, available on the EUIAS website.

* In the event of being unable to contact a Centre by telephone a written notification will be sent.

A sanction will remain in place until the Centre has successfully completed the action plan, or an investigation is complete or an appeal has concluded and, as a result, EUIAS has evidence and assurance as to the integrity of the qualification delivery, assessment and quality assurance in line with its requirements.

We reserve the right to remove a sanction, retain a sanction, or escalate a sanction level should evidence be found to meet the respective criteria detailed above.

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 EUIAS, to ensure it remains fit for purpose and the process and its outcomes are deliverable. It is also reviewed as part of EUIAS Continuous improvement monitoring through its annual self-assessment arrangements.



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