

ASDAN Sanctions Policy and Procedure

Policy Owner – Head of Quality

Review History	
V1	February 2015
V2	February 2021
V3	February 2022
V4	October 2022
V5	September 2023
V6	August 2025
Next Review	August 2027

1 Purpose

1.1 ASDAN qualifications are regulated by Ofqual (England and international), CCEA (Northern Ireland) and Qualifications Wales (Wales).

1.2 This policy and procedure responds to conditions A7, A8 and C2 of the General Conditions of Recognition, (Ofqual and CCEA, 2025) and Standard Conditions of Recognition (Wales, 2024) and Equality Act (2010).

1.3 This document is for the attention of:

- ASDAN trustees, staff and associate staff
- ASDAN centres
- Learners and their parents/carers (where appropriate)
- ASDAN's regulators: Ofqual, CCEA, Qualifications Wales
- Other stakeholders

1.4 This document applies to all ASDAN centres delivering any ASDAN qualification or programme, or utilising any ASDAN products or services.

1.5 ASDAN must ensure that all centres approved to deliver qualifications meet the requirements of the Centre agreement and ASDAN terms and conditions, at all times. In instances where a centre is found

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not be fully meeting these requirements, steps will be taken to support the centre to do so. If this is not successful due to set actions consistently not being met or based on the severity of the breach of conditions, sanctions may be applied. This document sets to outline what those sanctions could consist of, and when they may be applied.

2 Policy

2.1 This policy sets out the range of sanctions that will be applied to centres that are suspected to or have breached ASDAN requirements, primarily in relation to quality assurance processes.

Other restrictions can be placed upon ASDAN centres relating to late or unpaid invoices. For more information on this type of restriction, please see ASDAN invoicing policy.

2.2 The aim of applying sanctions is to:

- Minimise the risk to the integrity and quality of all aspects of ASDAN awarding functions, specifically the awarding of results and certification
- Prevent or reduce adverse effects to learners
- Allow ASDAN time to investigate incidents

2.3 This document supports ASDAN Malpractice and Maladministration Policy as well as the wider ASDAN Centre Assessment Standards Scrutiny (CASS) strategy, providing guidance for instances where a centre fails to comply with ASDAN requirements. This policy helps to ensure a fair and consistent approach for managing sanctions for ASDAN and is reviewed at least every two years, or sooner in line with other related policies, or changes in regulation.

2.4 ASDAN's responsibilities when applying sanctions include:

- Make risk-based judgements with considerations for factors like centre history, programmes/qualifications affected, number of learners affected and centre's current risk rating.
- Set actions with achievable and realistic timescales for completion
- Communicate sanctions clearly and appropriately to centres along with remedial actions and the consequences of not addressing them
- Minimise impacts to learners which could have a potential or actual adverse effect
- Providing advice and guidance to centres around the actions required to reduce or remove sanctions
- To follow through on consequences of centres continuing to fail to meet requirements
- To report any sanctions that result in a potential or actual adverse effect to learners to the regulators

2.5 Centre responsibilities with regards to sanctions include:

- Read and act upon all ASDAN policies and guidance, to ensure robust processes for delivery, assessment and internal quality assurance that prevent sanctions
- Cooperate fully with ASDAN regarding any proposed or implemented sanctions
- Work to address any remedial actions or advisories set by ASDAN to remain compliant

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- Meet the timescales and deadlines set by ASDAN to avoid escalation of sanctions
- Ensure that learners are supported and communicated to in the event of a potential or actual adverse effect as a result of sanctions

2.6 Sanctions levels and the different types of sanctions that ASDAN can apply are found in the table below.

Sanctions applied at levels 1 and 2 relate to day-to-day effective monitoring and risk-based quality assurance management of ASDAN centres under the ASDAN CASS strategy and whilst they are a form of sanction, they are not reported on.

All sanctions applied at level 3 and above are recorded as sanctions within our internal incident log and therefore, reportable to senior leadership and the board of trustees at least twice a year.

Sanction level	Potential rationale for sanction	Sanction example	Sanction typical duration
Level 1	Issues identified upon approval, during day-to-day monitoring or an EQA activity.	Actions to complete – e.g. – updating staff details, creating or updating a policy, improving IQA and standardisation activities	Variable timescales relative to the severity of sanction but usually no longer than 12 months or next monitoring activity , whichever comes first.
Level 2	Inability to address and complete actions set.	Selection for Quality Assurance review within next cycle and/or additional sampling activity prior to certification.	Variable timescales relative to the severity of sanction but usually no longer 12 months or next monitoring activity , whichever comes first.
Level 3	Persistent inability to address and complete actions set or as part of an investigation e.g. - Malpractice or maladministration	Selection for immediate Quality Assurance review (chargeable) outside of the normal cycle and/or immediate additional sampling activity (chargeable) prior to certification.	Variable timescales but usually within 12 weeks . The outcome of the activity/activities will determine the escalation or de-escalation of sanction accordingly.

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Level 4	<p>During or after an investigation e.g. – Malpractice or maladministration or other notification such as A8.7 notice from another awarding organisation.</p> <p>Alternatively, during day-to-day monitoring where it is in the best interest of learners to do so to reduce any potential/actual adverse effect due to prolonged inability to address issues and complete actions set.</p>	<p>Temporary suspension of registrations, certification claims, access to the ASDAN website/resources. This could either be product specific or across all ASDAN products.</p>	<p>Variable timescales but usually for at least the duration of the investigation or until actions are sufficiently completed and issues addressed.</p> <p>The outcome of the activity/activities will determine the escalation or de-escalation of sanction accordingly.</p>
Level 5	<p>Outcome of investigation e.g. – Malpractice or maladministration or other notification such as A8.7 notice from another awarding organisation.</p> <p>Alternatively, during day-to-day monitoring where it is in the best interest of learners to do so to reduce any potential/actual adverse effect due to prolonged inability to address issues and complete actions set.</p>	<p>Permanent withdrawal of approval for specific ASDAN product/s or overall ASDAN membership.</p>	<p>This is a permanent sanction.</p>

3 Procedure

3.1 ASDAN procedure relating to sanctions, varies depending on the level of sanction. The procedure outlined below is not exhaustive but covers the key points that involve ASDAN staff and Centre staff, along with the communication required in order to both impose and remove sanctions.

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3.2 Any sanction, regardless of the level –

- a. Will be communicated either within a report related to a monitoring activity or within an email from ASDAN quality team, notes will also be added to the centre's profile within ASDAN internal system.
- b. The sanction communication will include the next steps, any specific, measurable, achievable and relevant actions, and a clear timescale for their completion.
- c. Centres are responsible for communicating when those actions have been completed and for providing the relevant evidence to support their attestation, as well as signing and returning reports by agreed deadlines (if required).

3.3 Where sanctions are imposed at level 3 or above –

- ASDAN will ask for an immediate response to confirm receipt of the communication and understanding of/recognition for the severity of the sanction
- ASDAN will record this on the ASDAN incident log which is reportable to senior management and trustees
- ASDAN will consider whether the sanction is reportable to the regulators, which could result in an A8.7 notification being issued to other centres or awarding organisations.
- Sanctioned centres have the right to enquire or appeal about sanctions, in which case an investigation will be undertaken, and a full rationale will be provided to support the outcome

4 Associated Documentation

- Registration and Certification policy
- Quality Assurance policy
- Managing Adverse effects policy
- Whistleblowing policy and procedure
- Invoicing Policy