Sanctions Policy

The Learning Machine Ltd (TLM) is an Awarding Organisation regulated by Ofqual [1] and QiW [2], the regulators for qualifications in England and Wales. TLM is endorsed by eskills [3], the Sector Skills Council for Business and IT that ensures qualifications meet the needs of industry and employers.

All our qualifications are based on learners passing a coursework element, with grading options available through on-line examinations for performance table points. We offer on-demand examinations and moderation of coursework with constant support and feedback. Our range of qualifications are also fully progressive with routes from Entry Level through to Level 3.

Policy Statement

This policy document is for TLM Centre staff and tells you about why and how we apply Sanctions; it:

- Says what we will do when issues of non-compliance arise at one of our approved Centres
- Says how we will enforce the terms of our agreement with you
- Provides guidance about the meaning of our Sanctions, and how you can comply with them

Ofqual's General Conditions of Recognition set out several requirements of Centres and these are mirrored in TLM's agreement with you – this:

- Requires you to take all reasonable steps to ensure that we can comply with our Conditions of Recognition,
- Requires you to take all reasonable steps to comply with requests for information or documents made by us or Ofqual as soon as practicable,
- Requires you to assist us in carrying out any reasonable monitoring activities, and to assist Ofqual in any investigations made for the purposes of performing its functions,
- Details all the requirements with which you must comply in order to continue to properly deliver our qualifications.

This Sanctions Policy will be applied if you fail to comply with any of the above requirements.

Applying Sanctions

If you follow our policies and procedures and complete actions set by our TLM quality staff, then it is unlikely that Sanctions will be applied.

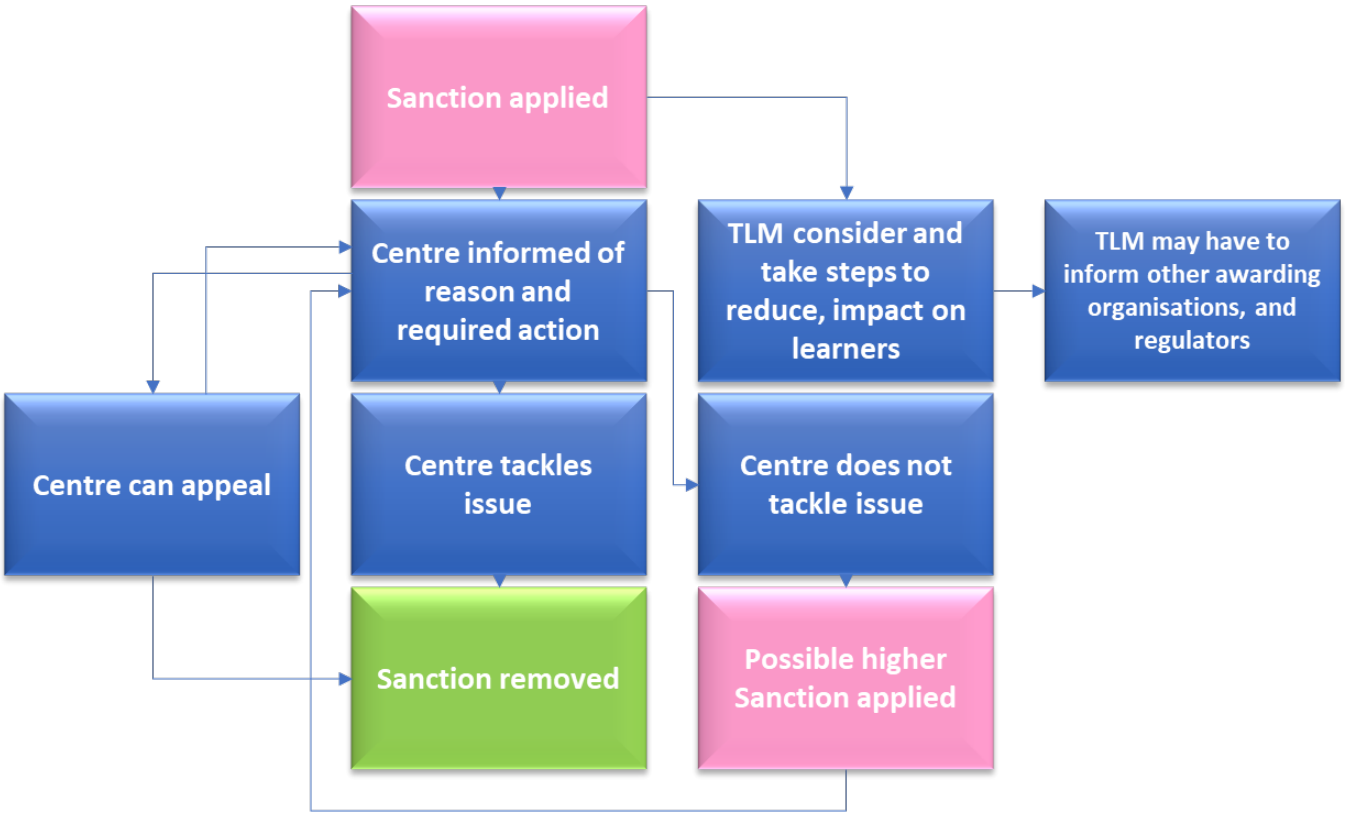
We are aware though that things can go wrong and you should contact us if they do. If you do this quickly, we can invariably fix things. In some cases, however, we may need to take action to protect our qualifications and remain compliant with our regulatory conditions; and it is here where we might apply our Sanctions. Before we do this, we will consider all the information available to us, and aim to do everything that we can to protect learners. Our Sanctions range in severity, dependent obviously on the issue:

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Failure to tackle an issue that caused a lower Sanction, may well lead to us applying a higher Sanction. The process is as follows:

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Issues that could lead to Sanctions

Assessment

Level	Issue
1	• Guidance on the assessment of learners with particular requirements is not followed • Recognition of Prior Learning is not effectively applied
2	• Inconsistent assessment decisions are made • Lower level Sanction issue not tackled
3	• Unfair assessment decisions are made • Assessments do not meet TLM's required standards • Lower level Sanction issue not tackled
4	• Continued failure to properly assess in a reliable way • Lower level Sanction issue not tackled
5	• Lower level Sanction issue not tackled

Compliance

Level	Issue
1	• Improper logo use • Failure to supply evidence for recognition
2	• Significant differences between Centre performance and that of comparable Centres • Lower level Sanction issue not tackled
3	• Inauthentic work not spotted by Centre • Information not made available by Centre to TLM in a timely manner • Exam material security compromised • Lower level Sanction issue not tackled
4	• Lower level Sanction issue not tackled • Significant management and quality assurance failings in parts

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5	• Centre does not comply with conditions of recognition • Lower level Sanction not tackled • Significant management and quality assurance failings in all areas

Quality assurance

Level	Issue
1	• Candidates not made aware of their rights and responsibilities • Centre staff not fully aware of policies and procedures • Centre's assessment processes are unclear, or not understood • Internal verification procedure incorrectly implemented • Inadequate monitoring or review of procedures
2	• Appropriate staff and policies not in place • Samples for standardisation not supplied • Unit specifications not fully understood or followed • Lower level Sanction issue not tackled
3	• Certification claims made without all assessment criteria having been met • Assessment records show serious irregularities • Lower level Sanction issue not tackled
4	• Centre not assisting TLM monitoring and investigation work • Significant faults in the management and quality assurance of specific aspects of qualification delivery • Significant differences between Centre performance and that of comparable Centres • Lower level Sanction issue not tackled
5	• Lower level Sanction issue not tackled

Record keeping

Level	Issue
1	• Failure to maintain or keep, accurate records of learners, qualifications and achievements • Failure to submit course, qualification and learner registrations on time • Unique Learner Numbers not obtained/used in line with TLM requirements
2	• TLM learner registration requirements not met • TLM assessment audit not possible because of poor Centre record keeping • Lower level Sanction issue not tackled
3	• Lower level Sanction issue not tackled
4	• Significant issues with storage and use of learner information and data • Lower level Sanction issue not tackled
5	• Lower level Sanction issue not tackled

Resources

Level	Issue
1	• Delivery and assessment of TLM qualifications impaired because adequate resources are not in place • Lack of resources affecting communications with TLM
2	• Aspects of equipment and accommodation do not comply with health and safety legislation • TLM requirements for specialist assessor/internal verification are not met • Centre quality staff do not have the time or resources to do their job properly

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	• TLM delivery and assessment resource requirements are not met • Lower level Sanction issue not tackled
3	• Equipment and accommodation do not comply with health and safety legislation • Lower level Sanction issue not tackled
4	• Lower level Sanction issue not tackled
5	• Lower level Sanction issue not tackled

Source URL: https://theingots.org/community/Sanctions2019

Links
[1] http://register.ofqual.gov.uk/Organisation/Details/RN5273
[2] http://qualificationswales.org/?lang=en
[3] http://www.e-skills.com/

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