

Sanctions Policy

Introduction

ISP Education approves training providers to deliver, assess and quality assure one or more ISP Education qualifications. ISP Education will support training providers with information, external quality assurance visits and access to training events. Part of the ISP Education quality assurance process is to manage the compliance of training providers against the approval criteria through the use of sanctions.

ISP Education monitor approved training providers performance in delivering their responsibilities through the activities of External Quality Assurers (EQA). EQA's complete a quality assurance visit and related activities and feedback to training providers using reports. Feedback includes actions that must be taken to maintain approved training providers status and recommendations for improvement.

The risks involved with this process relate to training providers not acting on action plans and as a result not complying with the requirements of approved training providers status. To manage this risk ISP Education, require action plans to address non-compliance issues and may impose a sanction (a restriction) where training providers do not comply. The sanctions are set out below and include restrictions to registration, assessment and certification of one or more qualifications delivered by the training provider.

This sanctions policy must be referred to by EQA's to assist them in making an appropriate judgement on whether a non-compliance issue will result in a recommendation or an action. This policy covers all ISP Education approved training providers and the qualifications they deliver.

ISP qualifications are nationally recognised and regulated by Office of the Qualifications and Examinations Regulator (Ofqual) for England and Northern Ireland -

<https://www.gov.uk/government/organisations/ofqual>

Responsibilities

The training provider has the responsibility to maintain the requirements of its approval with ISP Education.

ISP EQAs have a responsibility to report to ISP Education any compliance issues, in respect of a training providers, as soon as those issues (based on evidence) are identified in order that ISP Education can take the appropriate course of action in supporting the validity and integrity of the qualification(s) and safeguard learners.

Non-compliance stage 1

The following non-compliance will result in a Level 1 sanction and the development and agreement of an action plan with the training providers to address the areas of non-compliance with clear actions and timescales. This will be monitored by the EQA and overseen by ISP Education.

- 1.1 Training provider's policies and assessment practices, and responsibilities of personnel are not clear or well understood by assessment team and/or senior management team.
- 1.2 Internal quality assurance procedures and activities are not used to underpin the external quality assurance process and/or are not clearly documented.
- 1.3 Communications within the course team and with ISP Education are ineffective.
- 1.4 Premises used for delivery and assessment purposes do not provide access for learners, in accordance with relevant and current equalities and health and safety legislation.
- 1.5 Insufficient managerial support to enable effective and efficient delivery of the qualification(s) as required by the ISP Education including ensuring learner records of assessment are; authentic, accurate, up to date, securely stored and made available for external quality assurance.
- 1.6 Does not have a workforce of appropriate size and competence to undertake the delivery, assessment and internal quality assurance of the qualification. This includes taking reasonable steps to ensure occupational competence where this is required by the ISP Education for the assessment of specific qualification(s).
- 1.7 Learners are dissatisfied with the delivery and assessment of the ISP Education qualification.
- 1.8 Insufficient learner resources and support guidance such as learner handbooks, induction, online resources, textbooks
- 1.9 There is inadequate assessment planning with learners and/or teaching, learning, planning and assessment strategies are inadequate.
- 1.10 Range of assessment methods is insufficient to encourage access.
- 1.11 Changes to key training providers staff are not notified to ISP Education in a timely manner.
- 1.12 Course delivery is not reviewed and the training providers does not hold regular team meetings.
- 1.13 Training providers does not consider equality and diversity, plagiarism, maladministration or malpractice issues as part of the review of the delivery and assessment of ISP Education qualifications.
- 1.14 Training provider does not have a system for dealing with enquiries, appeals and complaints.

- 1.15 Training provider does not comply with ISP Conflict of Interest policy and does not manage conflicts of interest.

Non-compliance at stage 2

The following non-compliance will result in a Level 2 sanction and suspension of registration (could be for one qualification or all delivery at the training provider, dependent upon the circumstances of the non-compliance).

- 2.1 Assessors have insufficient time, resources or authority to perform their role.
- 2.2 Assessment decisions are not consistent.
- 2.3 Internal quality assessors (IQAs) have insufficient time, resources or authority to perform their role.
- 2.4 Records are insufficient to allow a quality assurance audit of assessment.
- 2.5 Insufficient qualified assessors/internal quality assurers
- 2.6 Action plans relating to non-compliance stage 1 are not addressed.

Non-compliance at stage 3

The following non-compliance will result in a Level 3 sanction and suspension of registration and certification (for one ISP Education qualification or all ISP Education qualifications delivered at the training providers, dependent upon the circumstances of the non-compliance).

- 3.1 No qualified internal quality assurer in place and no action has been taken to address this.
- 3.2 The training providers fails to provide ISP Education with access to requested records, information, learners and staff.
- 3.3 The training providers has failed to inform ISP Education of malpractice at the training providers.
- 3.4 Certification claims made before all the requirements of assessment are satisfied.
- 3.5 Action plans relating to non-compliance stage 1 or 2 are not addressed.

Non-compliance at stage 4

The following non-compliance will result in a Level 4 sanction and **withdrawal of training providers approval for specific ISP Education qualifications.**

- 4.1 Significant faults in the management and quality assurance of the ISP Education qualification which result in an on-going failure to meet the core requirements for the delivery and assessment of the ISP EDUCATION qualification.
- 4.2 Action plans relating to non-compliance at stage 1, 2 or 3 have not been addressed.

Non-compliance at stage 5

The following non-compliance will result in a Level 5 sanction and **withdrawal of training providers approval for all ISP Education qualifications.**

- 5.1 Significant failings in the management and quality assurance of all ISP Education qualifications.
- 5.2 Failure to pay fees due for services and/or overdue invoices remaining unpaid for a significant period of time (at the discretion of the ISP)
- 5.3 Action plans relating to non-compliance at stage 1, 2, 3 or 4 have not been addressed.