

# One Awards Centre Monitoring and Sanctions Policy



## Introduction

This policy explains One Awards risk based approach to the monitoring of all Recognised Centres. This explains the process used for Centres who fail to meet aspects of delivery requirements and/or the standards set out in the One Awards Centre agreement and terms and conditions, in their delivery of One Awards approved units. It sets out the sanctions One Awards may impose on Centres in such situations.

This document also provides guidance for all One Awards staff to ensure that sanctions are applied in a consistent manner.

## Centre Responsibilities

All staff involved in the delivery of One Awards units must be made aware of the contents of this policy and must understand the implications for their Centre should there be a failure to comply with requirements specified by One Awards unit delivery.

## Ensuring the Standards of One Awards Units

One Awards has a responsibility to all learners registered on its units to ensure that Centres deliver our units in accordance with relevant national standards.

In order to meet this responsibility the performance of each One Awards Centre is monitored by a team of experienced External Quality Assurers who are appointed to each recognised Centre. The role of the External Quality Assurer is to assist and support the Centres to successfully deliver the One Awards units for which they have been approved by providing them with effective and informed information, advice and guidance. In addition External Quality Assurers are responsible for ensuring that each Centre has in place robust and appropriate quality assurance systems.

The External Quality Assurer engages with and works in partnership with the Centre to monitor their performance against Centre Recognition requirements and will:

- address any queries the Centre may have
- provide the Centre with up-to-date information and advice in line with One Awards units and national standards
- monitor and review quality arrangements at the Centre within planned quality assurance visits for which the Centre has been fully informed

Version 2.0		Page 1 of 6
<i>Original created:</i> 05 November 2020	<i>Last edited:</i> November 2020	<i>Due for review:</i> November 2021
Centre Monitoring and Sanctions Policy		

# One Awards Centre Monitoring and Sanctions Policy



## Reporting

The External Quality Assurer will produce a report following each visit which details:

- the date of the visit and members of staff who attended
- details of the monitoring and verification activities undertaken
- feedback to the Centre on the quality and consistency of its assessment process and the effectiveness of internal quality assurance arrangements
- areas of good practice
- details of actions the Centre must take if its performance does not meet the requirements, when these actions must be completed by and who is responsible for their completion
- details of any sanctions that will be imposed, with a rationale for such a decision where serious weaknesses have been found

The External Quality Assurer will discuss the report and agree any actions or sanctions which may be imposed at the meeting itself so that the Centre is fully informed of their responsibilities.

## Risk Based Approach to Centre Monitoring and the Application of Sanctions.

A risk based approach is used within One Awards Centre monitoring and the subsequent application of sanctions. This is set out in Appendix 1. A risk rating is attached to each unit or programmes of units for which a Centre is recognised.

One Awards has a range of sanctions that can be imposed on a Centre depending on the seriousness of the situation, the level and any previous non-compliance and how that was addressed, the risk to the interests of learners and the integrity of the units and an increased likelihood of an adverse effect occurring which may affect the public confidence in One Awards units.

Version 2.0		Page 2 of 6
<i>Original created:</i> 05 November 2020	<i>Last edited:</i> November 2020	<i>Due for review:</i> November 2021
Centre Monitoring and Sanctions Policy		

# One Awards Centre Monitoring and Sanctions Policy



## Process for the Application of Sanctions within One Awards Centre Monitoring

The implementation of any sanction by an External Quality Assurer will in the first instance be reviewed by the Lead External Quality Assurer, who is responsible for overseeing the work of the External Quality Assurers and for ensuring consistency of approach. The Lead External Quality Assurer will ensure there is clear evidence of non-compliance by the Centre and/or a sufficient rationale for the sanction which is to be imposed.

In all instances the nature of the sanction and the rationale for its application will be communicated in writing to the Centre along with the relevant External Quality Assurer report with the actions required to address the sanction.

One Awards aims to ensure that the application of sanctions will be applied only as a last resort and through our approach to Centre support and management and the creation of appropriate action plans, we will work with Centres to prevent situations arising that would warrant a sanction being imposed.

Only in exceptional circumstances of extremely serious non-compliance or the persistent failure of the Centre to address outstanding actions, and/or the failure of previous sanctions to address the issue, will One Awards impose the ultimate sanction of **removal of approval** in relation to all units and in turn the Centre's recognition with One Awards.

One Awards will not impose the immediate withdrawal of approval for a unit or a programme of units without:

- the Centre being given an opportunity to address the area(s) of non-compliance
- first of all imposing one of the previous sets of sanctions
- there being evidence that the non-compliance poses a significant threat to the interest of learners or the integrity of the units

Should a Centre have its approval for a unit or programme of units removed, all reasonable steps will be taken to protect the interests of any learners currently registered on the unit or programme of units in line with the details outlined in the Centres withdrawing from offering our units policy. Learners will be certificated for any achievements to date and/or transfer them, where possible and feasible, to another Centre to enable them to carry on with their learning.

A Centre should in the first instance speak with the relevant External Quality Assurer if they disagree with the decision regarding the sanction and following that should then contact the Head of Quality. If a Centre is still unhappy with the situation they can either make a complaint (in accordance with One Awards Complaints Policy) or appeal (in accordance with One Awards Appeals Policy).

Version 2.0		Page 3 of 6
<i>Original created:</i> 05 November 2020	<i>Last edited:</i> November 2020	<i>Due for review:</i> November 2021
Centre Monitoring and Sanctions Policy		

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## Contact Us

All One Awards Centres are encouraged to provide feedback on the:

- conduct of the External Quality Assurer
- findings and outcomes of the External Quality Assurer visit
- services and/or support offered by One Awards.

Please contact the Head of Quality for any enquiries related to this policy.

## Review Arrangements

This policy will be reviewed annually as part of the self-evaluation arrangements and revised as and when necessary in response to customer feedback, trends from internal monitoring arrangements, changes in organisational practices, actions from the regulatory authorities or external agencies or changes in legislation.

Version 2.0		Page 4 of 6
<i>Original created:</i> 05 November 2020	<i>Last edited:</i> November 2020	<i>Due for review:</i> November 2021
Centre Monitoring and Sanctions Policy		

# One Awards Centre Monitoring and Sanctions Policy



## Appendix 1

### Risk Based Approach to One Awards Centre Monitoring

Monitoring of all One Awards Centres is undertaken against 5 risk indicators detailed in the table below, associated with:

- Assessment (a&b)
- Internal quality assurance (c)
- Response to actions given to a Centre (d)
- Compliance with One Awards Centre Recognition criteria (e)

Indicators	
<b>A</b>	Centre is using valid, reliable, fair and safe assessment methods. Clear and comprehensive assessment guidance is provided for assessors.
<b>B</b>	Assessment decisions are made against unit learning outcomes and assessment criteria at the appropriate level, ensuring that evidence is valid, authentic, sufficient, fit for purpose and current with clear and constructive feedback explaining assessment decision issues to learners.
<b>C</b>	Robust internal verification activity is evident confirming validity and consistency of assessment decision, appropriate standardisation procedures and accurate record keeping.
<b>D</b>	Centre provides appropriate and timely response to action points and recommendations from Quality Reviewers and One Awards staff.
<b>E</b>	Centre is compliant with Centre Recognition criteria and unit requirements.

Individual risks are assigned against each individual Centre's performance which is identified through the Centre monitoring process and based on the following banding.

Banding	Score	General Descriptor
<b>Low Risk</b>	<b>1</b>	On the basis of the available evidence the Centre performance is good and there is little or no risk to the integrity of units Centre Recognition criteria, and/or the reputation of One Awards.
<b>Marginal Risk</b>	<b>2</b>	On the basis of the available evidence the Centre performance is satisfactory and any risks to the integrity of units, Centre Recognition criteria, and/or the reputation of One Awards is marginal.
<b>Moderate Risk</b>	<b>3</b>	On the basis of the available evidence there are concerns about a specific risk indicator or indicators and a specified action is required to ensure the integrity of unit Centre Recognition criteria, and/or the reputation of One Awards. Sanctions may be imposed.
<b>High Risk</b>	<b>4</b>	On the basis of the available evidence there are major concerns about one or more risk indicator(s) which threaten the integrity of units, Centre Recognition criteria, and/or the reputation of One Awards. Urgent action is required. Sanctions may be imposed.

# One Awards Centre Monitoring and Sanctions Policy



## Sanctions

- The Head of Quality will decide which, if any, sanction should be set where an External Quality Assurer indicates a 3 or 4 risk rating from the table above
- Sanctions will be chosen from the table of sanctions that increase with severity
- Centres will be fully informed of the sanctions and the actions required to address these and this will be confirmed with the appropriate External Quality Assurer.

Table of Sanctions		
Sanction		Rationale
1	Escalation to Centre management	Limited confident in specific risk indicators
2	Additional quality visit	Non-compliance with qualification or approved Centre criteria, or Centre not responding to action points
3	(a) Suspension of registration (b) Suspension of certification (c) Withdrawal of DCS	(a) threat to learners (b) Loss of integrity of assessment Danger of invalid claims for certification (c) noncompliance with DCS requirements
4	Withdrawal of Centre approval for specific units	Irretrievable breakdown in the management and quality assurance of specific units
5	Withdrawal of Centre approval for all units	Irretrievable breakdown in the management and quality assurance of all units