



The Chartered
Institute of Logistics
and Transport

CILT(UK)

Awarding Organisation

Policy:

Learning Partner Sanctions

CILT(UK) Awarding Organisation Learning Partner

Sanctions Policy

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1. Policy

As a regulated Awarding Organisation, The Chartered Institute of Logistics and Transport in the UK (CILT(UK)) Awarding Organisation (AO) has a responsibility to maintain the validity, reliability, standards and reputation of its qualifications, to protect the interests of Learners and to ensure that the AO continues to meet regulatory requirements set out by the qualification regulators.

All CILT(UK) AO accredited Learning Partners sign a written Learning Partner Agreement with CILT(UK) AO, setting out the requirements that Learning Partners must meet to retain their accredited status and continue to offer CILT(UK) AO qualifications. This includes the meeting of CILT(UK) AO and regulatory requirements for course delivery and assessment of regulated qualifications.

This policy sets out the sanctions that CILT(UK) AO may, at its discretion, apply to Learning Partners and / or Learning Partner staff, where they are suspected of having, or are known to have failed to meet the requirements of the Learning Partner Agreement (including regulatory requirements) and associated CILT(UK) AO policies and procedures.

The policy sets out CILT(UK) AO's approach to sanctions, the types of sanctions which may be imposed and the process for applying and removing sanctions.

2. Scope

This policy applies to:

- All CILT(UK) AO accredited Learning Partners
- All CILT(UK) AO qualifications regardless of assessment route.

3. Regulatory Authorities' criteria

CILT(UK) is an Awarding Organisation regulated by The Office of Qualifications and Examinations Regulation (Ofqual) in England, Qualification Wales (QW) and the Council for the Curriculum, Examinations and Assessment (CCEA) Regulation in Northern Ireland.

In addition to statutory duties, this policy is intended to meet relevant regulatory requirements as set out by Ofqual / QW / CCEA and has been compiled with reference to current best practice, e.g. guidance issued by the Federation of Awarding Bodies (FAB).

4. Definitions

Appeal

A process through which an awarding body may be challenged on the outcome of an enquiry about results or, where appropriate, other procedural decisions affecting a centre or individual candidates.

Awarding Organisation

An organisation or consortium that awards qualification. To be eligible to award regulated qualifications, awarding organisations must meet the requirements of the regulatory authorities.

Learner

A person who is registered to take a qualification and to be assessed as part of that qualification.

Learning Partner (Centre)

An organisation undertaking the delivery of an assessment (and potentially other activities) to Learners on behalf of an awarding organisation. Centres are typically educational institutions, training providers, or employers.

Maladministration

Maladministration generally covers mistakes or poor process where there has been no intention on the part of the person responsible to do any harm. It may involve some degree of incompetence or ineptitude, or may result from carelessness or inexperience.

Whilst not an exhaustive list, the following are some examples of maladministration:

- *avoidable delay;*
- *mistakes arising from inattention;*
- *faulty procedures;*
- *failure to follow correct procedures;*
- *poor record keeping;*
- *inadvertent failure to take action;*
- *poor communication; and*
- *inadvertently giving misleading or inadequate information.*

Malpractice

Malpractice will generally involve some form of intent. It may also include circumstances where an individual has been negligent or reckless as to the consequences of their actions.

Two of the clearest examples of potential malpractice are:

- *cheating, or facilitating cheating, in an assessment; and*
- *attempting intentionally to manipulate a result so that it does not reflect the Learner's actual performance in an assessment.*

Such action could be taken by the Learner themselves, a Teacher, an exams officer, or any other individual involved in, or with access to, the assessment process.

Non-compliance

Non-compliance may refer to any breach by a Learning Partner or its staff of the conditions stipulated in the Learning Partner Agreement (including regulatory requirements) between the Learning Partner and CILT(UK) AO.

Qualification

An award made by an awarding body for demonstration of achievement or competence.

To be eligible to award regulated qualifications, awarding organisations must meet the requirements of the regulatory authorities.

Regulatory authorities

Government-designated statutory organisations required to establish national standards for qualifications and secure consistent compliance with them

To be eligible to award regulated qualifications, awarding organisations must meet the requirements of the regulatory authorities.

Sanction

A sanction is a form of injunction or penalty that can be levied against a Learning Partner by CILT(UK) AO. A sanction will vary in nature and severity dependent upon the circumstances under which it was levied.

5. How do sanctions arise

CILT(UK) AO will impose sanctions and penalties on Learning Partners (and where relevant and appropriate, Learning Partner staff) where there is evidence to support this action.

Sanctions will arise where cases of non-compliance (suspected and actual) have been identified. Where CILT(UK) AO cite non-compliance, this will indicate actions taken by the Learning Partner that are in breach (or potential breach) of the CILT(UK) AO Learning Partner Agreement.

Where Possible CILT(UK) AO will attempt to ensure all investigations are complete before sanctions are imposed, however, in certain circumstances, action may be taken by the Awarding Organisation before all the facts are known (e.g. following reporting and/or escalation to the regulatory authorities), in order to meet the criteria below.

These sanctions and penalties will aim to:

- Minimise the risk to the integrity of the qualifications, both now and in the future.
- Ensure that only those candidates who have reached the required standard are awarded the qualification.
- Maintain the confidence of the public in the delivery and awarding of qualifications.
- Deter others from doing likewise.

The sanction to be applied will depend on the nature and scale of the non-compliance and the criteria set out in this policy.

An issue of non-compliance may be defined in a number of ways, including (but not necessarily limited to) the following:

- Alleged/suspected incidences of malpractice/maladministration (e.g. plagiarism, collusion and / or provision of inaccurate and / or incomplete Learner data by Learning Partners).
- A Learning Partner failure to adhere to one or more condition(s) of approval as stipulated in their Learning Partner Agreement with CILT(UK) AO, and / or failure to cooperate with CILT(UK) AO monitoring / investigation procedures.
- A Learning Partner failing to adhere to CILT(UK) policies and procedures with regard to registration, certification
- A Learning Partner's failure to respond to new quality assurance requirements as stipulated and communicated by CILT(UK) AO, or on behalf of senior governance within CILT(UK) (e.g. Board of Trustees) and/or the relevant regulator(s).

- A Learning Partner's failure/refusal to pay agreed fees in a timely fashion.
- A Learning Partner's failure to support its Learners in accordance with agreed policies and procedures (e.g. appeals policy, equality policy).
- Any persistent or wilful attempt to discredit or damage CILT(UK) AO, its staff, its associates, and / or its reputation as a business and / or as an awarding organisation.

For further information, see [Appendix 1](#).

For the avoidance of doubt, CILT(UK) AO may impose sanctions against a Learning Partner for any action which is in breach of the defined practices as noted in the CILT(UK) AO Learning Partner Agreement. This is with the requirement to reduce risk and ensure continued compliance with the regulatory conditions of recognition.

6. Identifying and Reporting Non-Compliance

Non-Compliance can be identified and reported by any of the following

- Learning Partners (including by Learning Partner staff)
- CILT(UK) AO (including by examiners, moderators and CILT(UK) AO Staff)
- Learners
- Other individuals (such as funding agency staff, anonymous sources or members of the public)

To report suspected malpractice, the CILT(UK) Report of Suspected Malpractice form, available on the CILT(UK) AO website: <https://ciltuk.org.uk/AO-Policies-Procedures> must be completed and returned (with relevant supporting evidence attached, where available) to qualityassurance@ciltuk.org.uk

CILT(UK) AO may be alerted to an issue of non-compliance in a number of ways, including (but not necessarily limited to) the following:

- Issues identified in assessment (including marking and /or sampling of learner work), where instances of (for example) plagiarism or suspected collusion are found.
- Issues identified in a Learning Partner Quality Assurance visit.
- Issues identified in administration of enrolment, registration and certification of learners (e.g. provision of inaccurate and / or incomplete learner data by learning partners).
- Fraudulent certification claims (e.g. claims for certification from learner not enrolled and / or registered with the awarding organisation, fraudulent use of learner ID, etc).
- Non-payment of (or overdue) fees, as highlighted by monitoring undertaken by the Finance Department.
- 'Whistleblowing' by a member of a Learning Partner's staff, or by one of a Learning Partner's Learners.

7. Applying Sanctions

CILT(UK) AO Responsibilities

- CILT(UK) AO may share information relating to the imposition of sanctions and/or withdrawal of Learning Partner and/or Learning Partner staff approval, with relevant

qualification regulators (e.g. Ofqual), other authorities (e.g. government departments) and other Awarding Organisations, as appropriate. This may impact approval of the Learning Partner and / or relevant staff by other Awarding Organisations.

- In the event of criminal activity being suspected or found, CILT(UK) AO will inform the police and / or other enforcement authorities.

CILT(UK) AO Procedures

In cases where non-compliance (suspected or actual) is identified, CILT(UK) AO will apply their sanctions policy.

Sanctions may arise after an investigation into non-compliance has taken place but, in some cases, sanctions may be placed on a Learning Partner whilst the investigation is ongoing for reasons stated in Section 5 of this document.

Where sanctions are deemed relevant CILT(UK) AO will follow the sanctions procedure:

i) Identification and Notification

Following a report of suspected/actual non-compliance, CILT(UK) AO will commence a review of the case and the evidence it has available. During the investigation, CILT(UK) AO may seek to impose sanction at this stage for reasons as outlined in section 5 of this document.

ii) Applying sanctions – guidance on the decision-making process

Where CILT(UK) AO are informed of suspected/actual non-compliance, sanctions may be invoked to manage the subsequent risk this poses. CILT(UK) AO will assess the level of risk and impose sanctions accordingly, as part of the investigation CILT(UK) AO will assess the following areas to assist with decisions related to the level of sanction:

- **Nature of non-compliance** – Based on the nature of non-compliance that has been identified CILT(UK) AO will assess this against the guidance presented in Appendix 1 of this document to review best guidance for the level of non-compliance.
- **Combinations of non-compliance issues** - A combination of non-compliances might call for a more serious response. A judgement will be made against the rationale of the sanction.
- **Recurrence of non-compliance issue(s)** - A Learning Partner may temporarily rectify non-compliances in response to action plans (or higher-level sanctions) only to display the same non-compliance again at a later date. CILT(UK) AO may take into account the previous performance of a Learning Partner in considering whether to impose a higher-level sanction.
- **Malpractice** - If the circumstances and nature of the non-compliance indicate that fraudulent activity is involved, CILT(UK) AO will follow its published Malpractice Policy. Where malpractice is suspected (and especially where it is proven), CILT(UK) AO may apply a temporary block on the Learning Partner's registration and / or certification requests and / or provision of specific assessment methods (e.g online or paper-based). The gravity of the issue will determine the response of CILT(UK) AO and the ultimate level of sanction imposed against the Learning Partner concerned.

Further information related to the sanction level that may be decided can be found in sections 8 and 9.

iii) Communication

CILT(UK) AO will communicate with the Head of Learning Partner (or senior staff member assigned by the Head of Learning Partner) to advise them of the sanction and any relevant actions plans/timescales. All communication with the Head of Learning Partner (or appointed individuals) will be conducted in writing with communications being issued by email.

iv) Action Plans

Where an action plan has been communicated to the Learning Partner, the Learning Partner must ensure this is completed within the timescale that has been provided. Where the Learning Partner does not feel they are able to complete actions by the timescale, they must ensure this is communicated to CILT(UK) AO in writing at the earliest opportunity. CILT(UK) AO will make accommodations where this is permitted but please note, due to the nature of certain areas of non-compliance it may be the case that timeframes cannot be amended for example, in the case of unpaid invoices.

v) Escalation of Sanctions

A failure to implement action plan requests to CILT(UK) AO's satisfaction at sanction Level 1 may invoke a Level 2 sanction response. Similarly, a failure to rectify faults that have given rise to a Level 2 sanction may invoke a Level 3 sanction response (and so on).

Should action plans go unanswered in the required timeframe, CILT(UK) AO will escalate the sanction in line with the sanctions policy as highlighted above. Where this is the case, the Learning partner will be informed of this in writing as well as a new action plan with new timescales being provided. Where action plans continually go unanswered, the escalations process will continue and, in some cases, may result in the Learning Partners accreditation being withdrawn.

vi) Learning Partner Withdrawal (Level 5 sanction)

Where possible, CILT(UK) AO will seek to manage non-compliance with a Learning Partner in order to come to an outcome where accredited Learning Partner status can continue. In some cases, this may not be possible and CILT(UK) AO will have to withdraw the Learning Partner. Some examples where CILT(UK) AO may have to withdraw a Learning Partner and invoke a Level 5 sanction are included below – please note, this list is not intended to be all inclusive and instead is to act as a guide:

- As escalation of a case of non-compliance following inadequate response from the Learning Partner in relation to required actions.
- Where CILT(UK) AO is directed or otherwise instructed to do so by the regulators
- A significant breakdown in the relationship between CILT(UK) AO and the Learning Partner where communications become hostile, threatening and/or vexatious.

Where a Learning Partner withdrawal is deemed necessary, CILT(UK) AO will inform the Learning Partner of this in writing and will then follow the CILT(UK) AO withdrawal process, relevant details of which will be communicated to the Learning Partner.

Further details of the sanctions and relevant rationale is included in appendix 1 of this document. CILT(UK) AO may not follow the sanctions in a sequential order, with each case being assessed individually. CILT(UK) AO will impose sanctions at the level they deem to be relevant based on the risk posed by the nature of non-compliance.

8. Sanction Levels

CILT(UK) AO may levy up to five levels of sanction against a Learning Partner, ranging in seriousness from Level 1 (sanction that can be resolved quite readily given attention to recommendations) to Level 5 (critical sanction that requires CILT(UK) AO to withdraw approval from a Learning Partner, perhaps indefinitely). At all levels of sanction, a Learning Partner will be informed of any actions required by CILT(UK) AO before any penalties imposed may be lifted.

Sanction Level	Rationale	Response / Sanction	Maximum resolution timescale
1	Non-compliance with CILT(UK) AO Learning Partner Approval Criteria but no threat to the integrity of qualifications.	Entry in action plan; agreement with Learning Partner to rectify.	As specified by the AO (e.g. following quality assurance and / or monitoring activity).
2	Threat to Learners: Loss of the integrity of assessment decisions and reputation / confidence (e.g. failure to pay invoice).	Suspension of Enrolment of new learners and Registration of existing learners - Action points to be completed by agreed deadline. Restriction of assessment method and / or invigilation (e.g. Paper-based or online assessment only). Additional monitoring of Learning Partner by CILT(UK) AO may be required.	3 Months
3	Threat to Learners: Loss of the integrity of assessment decisions. Risk of invalid claims of certification.	Suspension of Registration and Certification - Action points to be completed by agreed deadline. Additional monitoring of Learning Partner by CILT(UK) AO may be required.	3 Months
4	Threat to Learners: Loss of the integrity of assessment decisions. Risk of invalid claims of certification.	Withdrawal of approval from specific affected programme(s).	Immediate

	Breakdown in management of a specific CILT(UK) AO programme(s).	Any additional action points to be completed by agreed deadline. Additional monitoring of Learning Partner by CILT(UK) AO may be required.	
5	Threat to Learners: Loss of the integrity of assessment decisions. Risk of invalid claims of certification. Irretrievable breakdown in management and quality assurance of a Learning Partner, and / or breakdown in communications.	Total withdrawal of Learning Partner and programme approval - The qualification regulator(s) will be informed.	Immediate

9. Guidance on Interpretation

The above sanctions represent the **minimum** response to identified non-compliances but there may be circumstances in which CILT(UK) AO may judge that a higher level of sanction is justified.

The professional judgement of CILT(UK) AO's quality assurance team will be employed when interpreting and specifying the level of sanction to be applied.

In determining the appropriate sanction, CILT(UK) AO will consider factors including:

- the potential risk to the integrity of the examination or assessment;
- the potential adverse impact on Learners;
- the number of Learners and / or Learning Partners affected;
- the potential risk to those relying on the qualification (e.g. employers or members of the public);
- the potential adverse impact on CILT(UK) AO in terms of regulatory compliance and / or operationally and / or financially and / or reputationally and / or organisational integrity;
- where relevant, the potential adverse impact on the wider CILT(UK) organisation in terms of regulatory compliance and / or operationally and / or financially and / or reputationally and / or organisational integrity; and
- the specific circumstances of the non-compliance: Not all the sanctions are appropriate to every type of qualification or circumstance.

The Awarding Organisation may consider, at its discretion, mitigating factors supported by appropriate evidence.

NB: Ignorance of the regulations will not, by itself, be considered a mitigating factor.

Sanctions may be applied individually or in combination.

10. Lifting Sanctions

A sanction will be lifted when any/all of the following circumstances arise:

- The identified issue(s) of non-compliance have been addressed to the satisfaction of CILT(UK) AO.
- CILT(UK) AO has completed an investigation and found no evidence that there is a threat to the integrity of CILT(UK) AO's qualifications and / or CILT(UK) AO's ability to effectively award certificates and / or the integrity of CILT(UK) AO itself.
- An appeal made on behalf of a Learning Partner under sanction has been upheld.

NB: As indicated on the [Sanction Levels table](#) above, the lifting of a serious sanction may leave in place a less serious one where CILT(UK) AO judges that there is still a threat to the integrity and / or status of its qualifications.

Where CILT(UK) AO are satisfied a sanction can be lifted owing to the above circumstances, communication of this decision will be provided in writing to the Head of Learning Partner and / or appointed individual.

11. Appeals

With regard to Learning Partner sanctions and in accordance with regulatory requirements, the CILT(UK) AO "Awards Organisation Policy and procedures: Appeals" policy applies to in the following circumstances:

- Sanction decisions relating to any action to be taken against a Learning Partner following an investigation into malpractice or maladministration.

Where this right of appeal is relevant will be stated when the Learning Partner is informed of the sanction in writing. An application to Appeal against a relevant Sanction decision must be made **within 10 working days** of the date of CILT(UK)'s AO written communication confirming the decision.

For further information, see the CILT(UK) AO "Awards Organisation Policy and procedures: Appeals" policy.

12. References

CCEA Regulation, 2021 "General Conditions of Recognition (January 2021)"

Federation of Awarding Bodies, 2013 "FAB Malpractice and Maladministration Guide (September 2013)"

Joint Council for Qualifications, 2020 "Suspected Malpractice Policies and Procedures (1 September 2020 to 31 August 2021)"

Office of Qualifications and Examinations Regulation, 2022 "Ofqual Handbook: General Conditions of Recognition (May 2022)"

Qualifications and Curriculum Authority, 2006 "NVQ Code of Practice - Revised"

Qualification Wales, 2021 "Standard Conditions of Recognition (January 2021)"

Appendix 1: Learning Partner sanction levels; Examples of non-compliance

Examples of Learning Partner non-compliance and sanctions are set out in this section. These lists are indicative and not intended to be exhaustive or definitive. See sections 6-13 of this document for further information.

Level 1

- **Rationale:** Non-compliance with CILT(UK) AO Learning Partner Approval Criteria but no threat to the integrity of qualifications.
- **Sanction / response:** Entry in action plan; agreement with Learning Partner to rectify. Written warning and / or additional monitoring where CILT(UK) AO deems appropriate.

Reference number	Example of Level 1 non-compliance
1.1	Learning Partner's policies and course delivery and / or assessment practices, and responsibilities of personnel are not clear or well understood by the Learning Partner team.
1.2	Internal quality assurance procedures and activities not sufficiently documented or well understood by the Learning Partner team.
1.3	Communication within the Learning Partner team and / or with CILT(UK) AO is ineffective.
1.4	Equipment and accommodation do not comply with health and safety legislation and / or standards.
1.5	Insufficient number of qualified tutors.
1.6	Tutors do not have adequate development plans.
1.7	Learners are not aware of their rights and responsibilities and / or have inadequate access to Learning Partner policies that affect them e.g. no appeals procedure.
1.8	There is inadequate assessment planning with Learners and / or Learners are unaware of CILT(UK) AO qualification timetables e.g. Learner registration, assessment and / or submission dates.
1.9	Learner queries (or queries from CILT(UK) AO) are insufficiently recorded and / or resolved, and / or responses are insufficiently communicated.
1.10	Changes to relevant Learner Partner personnel and roles are not notified to CILT(UK) AO.
1.11	There is inadequate monitoring or review of procedures by the Learning Partner.
1.12	Learning Partner policies and / or records and / or processes do not meet CILT(UK) AO requirements.

1.13	Communication within the assessment team and / or with CILT(UK) AO is ineffective (Learning Partner-assessment only).
1.14	Assessors / internal verifiers do not have adequate development plans (Learning Partner-assessment only).
1.15	Changes to personnel of the assessment and verification team are not notified to CILT(UK) AO (Learning Partner-assessment only).
1.16	Where CILT(UK) AO has escalated a potential or actual Learning Partner non-compliance issue to the regulators or other authorities and is awaiting information and / or a decision, in order to meet regulatory requirements.
1.17	Where CILT(UK) AO is directed or otherwise instructed to do so by the regulators or other relevant authority, to meet regulatory requirements.
1.18	Where CILT(UK) has received information regarding a sanction imposed on a Learning Partner from a regulator and / or other authority and / or another awarding organisation.

Level 2

- **Rationale:** Threat to Learners: Loss of the integrity of assessment decisions and reputation / confidence (e.g. failure to pay invoice).
- **Sanction / response:** Suspension of Enrolment of new learners and Registration of existing learners - Action points to be completed by agreed deadline and / or Restriction of Invigilation (e.g. invigilator appointed by CILT(UK) AO) and / or Assessment Method (e.g. Paper-based or online assessment only). Additional monitoring by CILT(UK) AO may be required. Non-payment of fees: Immediate payment terms (no credit).

Reference number	Example of Level 2 non-compliance
2.1	Assessors have insufficient time, resources or authority to adequately perform their role (Learning Partner assessment only).
2.2	Tutor(s) have insufficient time, resources or authority to adequately perform their role.
2.3	Insufficient qualified tutors.
2.4	Records are insufficient for CILT(UK) AO to conduct quality assurance and / or monitoring activity.
2.5	The Learning Partner does not meet CILT(UK) AO and / or regulatory requirements and / or relevant equalities legislation to provide facilities and / or reasonable adjustments and / or other access arrangements for all Learners for assessment purposes.
2.6	The Learning Partner does not inform CILT(UK) AO in a timely manner of changes to registered address, delivery address, corporate structure (e.g. change of control), financial stability (e.g. insolvency).

2.7	The Learning Partner does not ensure the financial stability of the organisation (e.g. insolvency).
2.8	The Learning Partner does not request permission from, and / or inform CILT(UK) AO of a third party relationship relevant to course delivery and / or assessment e.g. satellite centre, venue.
2.9	Where approved third parties are used, the Learning Partner and / or the third party does not meet CILT(UK) AO requirements.
2.10	Learning Partner arrangements do not meet CILT(UK) AO and / or regulatory requirements regarding risk management.
2.11	Learning Partner arrangements do not meet CILT(UK) AO and / or regulatory requirements regarding conflict of interest.
2.12	Learning Partner arrangements do not meet CILT(UK) AO and / or regulatory requirements for Learner enrolment and / or assessment registration and / or certification.
2.13	Suspected malpractice and / or maladministration e.g. Learning Partner provides inaccurate and / or incomplete learning enrolment and / or registration data.
2.14	Learning Partner does not take all reasonable steps to prevent and / or identify and / or report and / or investigate and / or rectify incidents of malpractice or maladministration (e.g. suspected plagiarism and / or collusion and / or other inappropriate invigilation and / or assessment practice identified by the AO but not detected and / or reported by Learning Partner).
2.15	Learning Partner's complaints and / or appeals policies and / or processes do not meet CILT(UK) AO and / or regulatory requirements.
2.16	Significant number of complaints from Learners.
2.17	The Learning Partner does not meet CILT(UK) AO and / or regulatory requirements with regard to Learning Partner quality assurance and monitoring activity e.g. Repeated delay, re-arrangement or cancellation of appointments, not providing information on request and / or in a timely manner.
2.18	The Learning Partner's arrangements do not meet CILT(UK) AO registration and / or Data Protection legislation with regard to maintenance and retention of all Learner records and details of achievement relevant to the qualification (e.g. Learner data and assessment records, verification records and certificate claims).
2.19	The Learning Partner does not meet CILT(UK) AO requirements with regard to payment of fees e.g. failing to pay within agreed timescales or has outstanding debt.
2.20	The Learning Partner or any representative thereof acts or fails to act in such a way that would bring CILT(UK) AO into disrepute.

2.21	Assessors have insufficient time, resources or authority to adequately perform their role (Learning Partner assessment only).
2.22	Assessment decisions are not consistent. e.g. Issues with internal quality assurance procedures and / or standardisation (Learning Partner assessment only).
2.23	Insufficient qualified assessors and / or internal verifiers (Learning Partner assessment only).
2.24	Records are insufficient to allow audit of assessment (Learning Partner assessment only).
2.25	Where CILT(UK) AO has escalated a potential or actual Learning Partner non-compliance issue to the regulators or other authorities and is awaiting information and / or a decision, in order to meet regulatory requirements.
2.26	Where the awarding organisation is directed or otherwise instructed to do so by the regulators or other relevant authority (including another awarding organisation), to meet regulatory requirements.
2.27	Where CILT(UK) AO has received information regarding a sanction imposed on a Learning Partner from a regulator and /or other authority and / or another awarding organisation.
2.28	Previously agreed corrective measures relating to Level 1 are not implemented to CILT(UK)'s requirements and / or timescales: The Level 1 Sanction is escalated to a Level 2 Sanction.

Level 3

- Rationale:** Threat to Learners: Loss of the integrity of assessment decisions and / or reputation and / or confidence. Risk of invalid claims of certification.
- Sanction / response:** Suspension of registration and certification and / or assessment method(s) - Action points to be completed by agreed deadline. Additional monitoring by CILT(UK) AO may be required.

Reference number	Example of Level 3 non-compliance
3.1	No qualified tutor(s) and / or use of unqualified tutors.
3.2	Assessment does not meet the regulatory and / or awarding organisation standards and / or qualification criteria.
3.3	The Learning Partner fails to provide access to requested records, information, staff and / or Learners.
3.4	Allegations of suspected Learning Partner malpractice or maladministration upheld following investigation e.g. Assessed evidence is not the authentic work of Learners and / or there is evidence of plagiarism and / or fraud.
3.5	Records of assessment show significant anomalies (e.g. Authenticity and / or

	completeness of data in question).
3.6	Major change of circumstances with Learning Partner – lack of confidence in processes being implemented e.g. financial status or ownership.
3.7	Pending outcome of malpractice investigation / whistleblowing / advice / receipt of information from regulators / other government bodies.
3.8	Allegations of suspected Learning Partner malpractice or maladministration upheld following investigation.
3.9	Learning Partner and / or Learning Partner staff allows the use of their accredited status fraudulently e.g. Advertising CILT(UK) Accredited status when acting as a tutor for an unaccredited centre.
3.10	Assessment process disadvantages candidates (Learning Partner assessment only).
3.11	Assessment decisions are unfair (Learning Partner assessment only).
3.12	No qualified assessor(s) and / or internal verifier(s) and / or use of unqualified assessor(s) and / or internal verifier(s) (Learning Partner assessment only).
3.13	Where CILT(UK) AO has escalated a potential or actual Learning Partner non-compliance issue to the regulators or other authorities and is awaiting information and / or a decision, in order to meet regulatory requirements.
3.14	Where CILT(UK) AO is directed or otherwise instructed to do so by the regulators or other relevant authority, to meet regulatory requirements.
3.15	Where CILT(UK) has received information regarding a sanction imposed on a Learning Partner from a regulator and /or other authority and / or another awarding organisation.
3.16	Previously agreed corrective measures relating to Level 2 non-compliance are not implemented to CILT(UK)'s satisfaction and / or timescales: The Level 2 Sanction is escalated to a Level 3 Sanction.

Level 4

- Rationale:** Threat to Learners: Loss of the integrity of assessment decisions and / or reputation and / or confidence. Irretrievable breakdown in management and quality assurance of specific CILT(UK) AO qualifications.
- Sanction / response:** Withdrawal of Learning Partner approval for specific CILT(UK) qualifications - Any additional action points to be completed by agreed deadline. Additional monitoring by CILT(UK) AO may be required.

Reference number	Example of Level 4 non-compliance
4.1	Significant faults in the management and quality assurance of the qualification which result in a continued failure to meet course delivery and / or assessment requirements.

4.2	The Learning Partner repeatedly fails to provide access to requested records, information, staff and / or Learners.
4.3	Allegations of significant suspected Learning Partner malpractice or maladministration upheld following investigation e.g. Multiple examples of assessed evidence that is not the authentic work of Learners and / or there is significant evidence of plagiarism and / or fraud.
4.4	Actions arising from identified maladministration and / or malpractice have not been addressed to meet CILT(UK) AO requirements. Current practices are a threat to the integrity of the delivery and / or assessment process and / or the qualification(s).
4.5	Significant breaches of the Learning Partner Agreement.
4.6	Where CILT(UK) AO has escalated a potential or actual Learning Partner non-compliance issue to the regulators or other authorities and is awaiting information and / or a decision, in order to meet regulatory requirements.
4.7	Where CILT(UK) AO is directed or otherwise instructed to do so by the regulators or other relevant authority, to meet regulatory requirements.
4.8	Where CILT(UK) has received information regarding a sanction imposed on a Learning Partner from a regulator and /or other authority and / or another awarding organisation.
4.9	Previously agreed corrective measures relating to a level 3 non-compliance have not been implemented to CILT(UK) AO's satisfaction and / or timescales: The Level 3 Sanction is escalated to a Level 4 Sanction.

Level 5

- Rationale:** Threat to Learners: Loss of the integrity of assessment decisions and / or reputation and / or confidence. Irretrievable breakdown in management and quality and / or breakdown in communications.
- Sanction / response:** Withdrawal of Learning Partner approval for all CILT(UK) AO qualifications. The qualification regulators and (where relevant, regulatory requirements dictate) other awarding organisations will be informed.

Reference number	Example of Level 5 non-compliance
5.1	Significant faults in the management and quality assurance of multiple / all qualifications which result in a continued failure to meet course delivery and / or assessment requirements.
5.2	Refusal by Learning Partner to provide access to requested records, information, staff and / or Learners.
5.3	Allegations of persistent and / or systematic and / or endemic malpractice upheld.

5.4	Learning Partner malpractice has caused an adverse effect whereby the status of CILT(UK) AO and / or its qualification(s) is in question e.g. by the regulator(s).
5.5	Refusal by Learning Partner to pay fees.
5.6	Critical threat to integrity of CILT(UK) AO qualifications and / or CILT(UK) AO.
5.7	Persistent and / or systematic and / or endemic breaches of the Learning Partner Agreement.
5.8	Breakdown in the relationship and / or communications between CILT(UK) AO and Learning Partner e.g. Learning Partner communications are threatening and / or hostile and / or vexatious.
5.9	Where CILT(UK) AO has escalated a potential or actual Learning Partner non-compliance issue to the regulators or other authorities and is awaiting information and / or a decision, in order to meet regulatory requirements.
5.10	Where CILT(UK) AO is directed or otherwise instructed to do so by the regulators or other relevant authority, to meet regulatory requirements.
5.11	Where CILT(UK) has received information regarding a sanction imposed on a Learning Partner from a regulator and / or other authority and / or another awarding organisation.
5.12	Previously agreed corrective measures relating to a Level 4 non-compliance have not been implemented to CILT(UK) AO's satisfaction and / or timescales: The Level 4 Sanction is escalated to a Level 5 Sanction.