



Centre Sanction Policy

April 2020

Policy authorised by Responsible Officer

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1.0 Introduction

The key role of OTHM is to secure standards for those qualifications we certificate. As part of our commitment to quality assuring standards and therefore protecting stakeholders, we aim to provide guidance and support to help Centres and their learners to achieve learning and development goals. We also ensure that any regulatory requirements our regulators impose on us are met.

As a condition of recognition all OTHM Approved Centres are required to sign an enforceable agreement with OTHM prior to commencement of delivery of its qualifications, and to ensure they comply with the agreement at all times.

OTHM identifies issues with a specific Centre through:

- Internal monitoring
- Information received from the regulators and / or other external bodies
- Feedback received from concerned stakeholders

If a Centre issue is raised, action points will be recorded and depending on the level of the non-compliance and the risk level, a sanction will be applied. In the event that sanctions are applied, OTHM will require the Centre to take all reasonable steps to protect the learners and will also undertake to do the same.

2.0 Scope of policy

This policy applies to all OTHM Approved Centres.

3.0 Policy statement

OTHM supports Centres to operate within the terms of the Centre Agreement and the Ofqual Conditions of Recognition. Centres are monitored and sanctions are only applied when necessary to ensure adherence to the Centre Agreement, to protect the integrity of qualifications, or the interests of learners.

4.0 Procedure

Internal monitoring

Types of sanctions which might be imposed:

- Action entered on Centre action plan
- Suspension of registration and certification rights
- Withdrawal of approval for specific qualifications
- Withdrawal of Centre approval

5.0 Sanction levels

Risk Level	Sanction	Maximum Allowable Timeframe
0	Good practice points suggested	Next Visit
Level 1	<p>Action plan put in place to meet requirements. Non-compliance with Centre approval criteria but no threat to the integrity of assessment. Centre must complete an action plan that details how they will improve their systems, policies and/or procedures with measurable outcomes and timelines.</p>	6 Months
Level 2	<p>Scrutiny of the integrity of assessment decisions required due to non-compliance with Centre approval criteria or concerns with assessment and quality assurance procedures. Centres are required to cooperate fully with OTHM in the following circumstances:</p> <ul style="list-style-type: none"> • Creation and implementation of action plans that are deemed necessary to meet requirements • Reasonable monitoring activities • Investigatory activities carried out by OTHM or relevant regulatory authorities. 	3 Months
Level 3	<p>The integrity of the qualification is not safe leading to invalid claims for certification. Suspension of registration and certification:</p> <ul style="list-style-type: none"> • Threat to learners • Loss of the integrity of assessment decisions – risk of invalid claims for certification. <p>Centres will be unable to:</p> <ul style="list-style-type: none"> • Process registrations • Process claims for certification • Schedule future examination sessions. 	Immediate
Level 4	<p>Irretrievable breakdown in management and quality assurance of specific OTHM qualifications. Withdrawal of specific OTHM qualifications.</p>	Immediate
Level 5	<p>Irretrievable breakdown in management and quality assurance of all OTHM qualifications run by the Centre. Centre is no longer approved by OTHM.</p>	Immediate

6.0 Appeals against Sanctions

Where a Centre wishes to appeal against sanction decisions applied by OTHM, the [Complaints and Appeals Policy](#) should be referred to.

7.0 Regulatory references

Ofqual requires all Awarding Organisations to establish and maintain their compliance with regulatory conditions and criteria. As part of this process, policies that relate to OTHM’s status as an awarding organisation will reference the particular conditions and criteria that they address.

This policy addresses the following regulatory criteria and conditions

GCR Reference	GCR Section title
C2	Arrangements with Centres

8.0 Policy review date

July 2020

9.0 Useful contacts

For more information on our qualifications and services visit: www.othm.org.uk. Alternatively, call at: +44(0)20 7118 4243 or email at: info@othm.org.uk

End of policy