



## Sanctions Policy

### Who is this policy for?

This policy is for centres, learners, AIM Qualifications and Assessment Group (AIM) staff or other personnel regarding sanctions which may be applied by AIM in relation to approved qualifications or units delivered either within or outside the UK.

<b>Owner</b>	<b>Compliance Director</b>
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## Version control

Version number	Date	Description
1	July 2022	<ul style="list-style-type: none"> <li>Document created</li> </ul>
1.1	July 2023	<ul style="list-style-type: none"> <li>Centre reinstatement and learner disqualification sections added.</li> <li>2.6. Removal of sanctions section amended to include 3-year reapplication process.</li> <li>Reference to artificial intelligence added to section 2.2.3.</li> <li>Examples updated in 2.4.1, 2.4.2 and 2.4.3</li> <li>Appendix 1 – AIM telephone number updated to 0844 2253377.</li> </ul>
2	June 2024	<ul style="list-style-type: none"> <li>Added restrictions on learner certification to Level 1 and 2 sanctions.</li> <li>Added panels are not required to be held for application of warnings or action plans or sanctions applied for financial reasons.</li> <li>Added to the examples for Level 3 centre sanctions.</li> <li>Section 2.3.1 amended to reflect appeals only accepted for Level 4 and 5 sanctions.</li> <li>Section 3 – added SQA Accreditation principles</li> </ul>

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## Section 1 – Scope

### 1.1 Scope

**1.1.1** This Sanctions Policy and Procedure applies to AIM Qualifications and Assessment Group provision delivered either within or outside the UK.

**This policy is intended for:**

- centres and their staff delivering AIM Qualifications and Assessment Group approved qualifications or units
- learners registered on AIM Qualifications and Assessment Group approved qualifications or units
- AIM Qualifications and Assessment Group staff to ensure that sanctions are applied to meet the requirements of qualifications regulations and in a consistent and fair manner

**The purpose of this policy is to:**

- define sanctions and adverse effects
- identify key occurrences which could lead to sanctions being imposed on centres, centre staff and learners by AIM Qualifications and Assessment Group
- detail the responsibilities AIM Qualifications and Assessment Group, centres, centre staff and learners have
- set out the sanctions and levels AIM Qualifications and Assessment Group may apply to centres, centre staff and learners which fail to meet either or both of:
  - obligations under the Centre Agreement and related policies, procedures and instructions
  - aspects of the delivery requirements and/or the standards laid down by the regulatory authorities in respect of AIM Qualifications and Assessment Group regulated qualifications and units
- detail follow-up actions after sanctions have been applied by AIM Qualifications and Assessment Group
- provide the regulatory references which apply
- provide useful contacts of both AIM Qualifications and Assessment Group and the various regulators

### 1.2 About us

**1.2.1** AIM Qualifications and Assessment Group is a leading Awarding Organisation and one of the UK's largest Access Validating Agencies (AVA). We work in partnership with colleges, independent training providers, universities, employers and voluntary organisations to develop accredited and regulated vocational qualifications. Our qualifications cover a range of academic levels from Entry Level to Level 6 across a wide range of subject areas. As an AVA we are licensed by the Quality Assurance Agency (QAA) to develop and award nationally recognised Access to Higher Education Diplomas. AIM Qualifications and

Assessment Group is also an independent, government recognised, End-Point Assessment Organisation (EPAO) responsible for an apprentice's final assessment to ensure they can do the job for which they've trained.

## Section 2 – Sanctions

### 2.1 Definition

**2.1.1** Sanctions are the actions and penalties which AIM Qualifications and Assessment Group can apply to approved centres, its staff and/or learners, suspected of/or proven to:

- not comply with the Centre Agreement and any related policies, procedures and instructions
- be carrying out an activity which may pose a risk to and/or threaten the integrity of AIM Qualifications and Assessment Group

**2.1.2** Sanctions allow AIM Qualifications and Assessment Group to protect the:

- integrity of qualifications and/or the quality assurance process and minimise the risk to these
- awarding of all results and certificates
- interests of learners
- confidence the public has in the delivery and awarding of the qualifications of AIM Qualifications and Assessment Group

**2.1.3** Sanctions also allow AIM Qualifications and Assessment Group to ensure that there is nothing to gain from breaking regulations and deter others from doing likewise.

**2.1.4** An adverse effect is any act, omission, event, incident, or circumstance where it gives rise to prejudice to learners or potential learners or adversely affects:

- the ability of the awarding organisation to undertake the development, delivery or award of qualifications in a way that complies with its Conditions of Recognition
- the standards of qualifications which the awarding organisation makes available or proposes to make available
- public confidence in qualifications

### 2.2 Responsibilities

The following represent the key responsibilities of AIM Qualifications and Assessment Group, centres, centre staff and learners.

### 2.2.1 AIM Qualifications and Assessment Group responsibilities

Overseen by the Compliance Director, AIM Qualifications and Assessment Group will:

- monitor compliance with the Centre Agreement and take appropriate action when this is suspected or known not to be the case
- ensure that centres deliver AIM Qualifications and Assessment Group's units/components and qualifications in accordance with relevant national standards
- carry out an investigation into any instance of non-compliance or risk of non-compliance. This will be conducted by the Compliance team and will generally take between thirty working days and three months, but may take longer, subject to the issues being investigated
- apply the appropriate actions, sanctions, penalties, and special conditions in accordance with the AIM Sanctions Policy
- take all reasonable steps to prevent any adverse effects from occurring due to sanctions being applied
- inform the appropriate regulatory authorities where an adverse effect may occur
- inform another awarding organisation where the sanction includes removal of centre or qualification approval
- support and where possible work with centres to remove/reduce sanctions as soon as possible

### 2.2.2 Centre responsibilities

All centres delivering AIM Qualifications must:

- ensure that all staff involved in the management, assessment and quality assurance of AIM qualifications and any learners undertaking one are fully aware of this policy and the possible implications of failing to comply with any requirements specified by AIM or the regulatory authorities
- ensure that assessment and quality assurance activities undertaken fully comply with the requirements of AIM Qualifications and Assessment Group
- ensure that corrective actions imposed by AIM Qualifications and Assessment Group to maintain compliance with the centre approval criteria of AIM Qualifications and Assessment Group are implemented
- notify AIM Qualifications and Assessment Group if any personnel involved, in the sanction, leave the centre

### 2.2.3 Centre staff responsibilities

All centre staff involved in the management, assessment and quality assurance of AIM Qualifications and Assessment Group qualifications must:

- be fully aware of this policy and the possible implications of failing to comply with any requirements specified by AIM Qualifications and Assessment Group or the regulatory authorities

- complement assessment and quality assurance activities which fully comply with the requirements of AIM Qualifications and Assessment Group
- implement corrective actions imposed by AIM Qualifications and Assessment Group to maintain compliance with AIM Qualifications and Assessment Group's centre approval criteria

### 2.2.4 Learner responsibilities

Any learner undertaking an AIM Qualifications and Assessment Group qualification must:

- declare any illnesses or conditions, for the purposes of reasonable adjustments being made, prior to course commencement
- declare any illnesses or conditions, for the purposes of special consideration being given, prior to the assessment
- behave in a professional and courteous manner at all times towards centre staff and other learners
- maintain the integrity and security of the learner assessment process
- cooperate fully with any compliance investigation

## 2.3 Process

**2.3.1** AIM Qualifications and Assessment Group has a range of sanctions that can be imposed on centres, centre staff and learners, depending on the seriousness of the situation, the level and track-record of the centre's non-compliance and the risk to the interests of learners and the integrity of the qualifications and units.

These sanctions can apply to:

- a single qualification
- an entire qualification sector
- an entire qualification type
- all qualifications
- centre approval

**2.3.2** AIM Qualifications and Assessment Group will impose sanctions on individuals found guilty of malpractice. These individuals will usually be the responsible centre staff and or learner(s) however, when malpractice is judged to be the result of a serious management failure within a department or the whole centre, AIM Qualifications and Assessment Group may apply sanctions against the centre.

**2.3.3** AIM Qualifications and Assessment Group reserves the right where the seriousness of the incident itself and the outcome of the resultant investigation deems it appropriate to remove qualification approval and/or centre recognition.

**2.3.4** This guide outlines potential sanctions for various types of misconduct, including:

- malpractice
- non-compliance with the centre agreement
- violations of AIM policies and procedures

The guide provides examples of misconduct, the corresponding sanction level, and the resulting consequences.

Please note that these are general guidelines. The actual sanction applied by AIM will depend on:

1. the severity of the incident
2. the findings of the investigation

AIM will consider these factors when determining the appropriate level and type of sanction.

**2.3.5** Where malpractice/maladministration is proven, we will consider whether the integrity of our assessments has been compromised or might be at risk if the centre/staff member/learner in question were to be involved in future AIM assessments. AIM Qualifications and Assessment Group will act to protect the integrity of our qualifications. This action may include:

- refusing to accept assessment/examination entries from a centre
- withdrawing qualification/centre approval
- refusing to issue certificates
- recalling/invalidating certificates
- debarring a centre staff member from involvement in the delivery of AIM qualifications for a number of years/life
- disqualifying a learner from the qualification
- debarring a learner from taking AIM qualifications for a number of years

**2.3.6** The investigating officer may refer any decision regarding the application of sanctions to a Malpractice Panel. This could include where there is conflicting evidence, or when the application of high-level penalties is under consideration. A high-level penalty is defined by the compliance team, as an action that will prohibit an individual or a centre's further involvement with AIM qualifications. Further information regarding malpractice panels can be found in the [Malpractice and Maladministration policy](#) on the website.

**2.3.7** AIM Qualifications and Assessment Group reserves the right to apply sanctions without a panel to protect the integrity qualifications such as placing a stop on recruitment and registration whilst an investigation is being carried out, or a level one warning or action plan provided to the centre to address centre concerns. Sanctions which are applied due to financial reasons such as non-payment of invoices do not require a panel to be convened.



## 2.4 Centre sanctions

These are not exhaustive lists of examples and are only intended as indicative guidance.

Level	Examples	Sanction	Resulting in
1	<ul style="list-style-type: none"> <li>Requested evidence for centre recognition (<i>eg, staff CVs</i>) not supplied</li> <li>Appropriate resources required for delivery and assessment not in place (<i>including equality and diversity requirements</i>)</li> <li>Equipment and accommodation do not comply with health and safety legislation</li> <li>The centre's use of the AIM logo does not comply with guidance provided by AIM</li> <li>There is inadequate monitoring or review of policies and procedures</li> <li>Centre staff are not fully aware of policies and procedures</li> <li>The centre's assessment processes are not clear or not understood by assessors</li> <li>Recognition of prior learning is not effectively applied</li> <li>Learners are not aware of their rights and responsibilities eg, there is a lack of an appeals procedure for learners</li> <li>Unique learner numbers are not obtained and/or used</li> <li>Learner registrations are not submitted in line with deadlines set by AIM</li> <li>Internal verification procedures are not correctly implemented</li> <li>Accurate records of learners, qualifications and achievements are not maintained or retained</li> </ul>	Written warning	<ul style="list-style-type: none"> <li>A letter to the head of centre advising of the breach and warning of further sanctions and/or special conditions that may be taken should there be a recurrence of this or subsequent breaches at the centre</li> </ul>
		Action plan	<ul style="list-style-type: none"> <li>An agreed action plan implemented by the centre as a condition of AIM continuing to accept entries or registrations from the centre</li> </ul>
		Restriction on learner certification	<ul style="list-style-type: none"> <li>Where applicable, qualifications which are set to results processing, which means no EQA monitoring is required for certificates to be issued, these qualifications will be changed to QA verification until the sanction is removed or matter is resolved.</li> </ul>
		Suspension of learner registrations or entries	<ul style="list-style-type: none"> <li>Learner entries or registrations from a centre refused by AIM for a period of time or until a specific matter has been rectified.</li> <li>No new learner enrollments can be made during this time.</li> </ul> <p>** Level 1 Sanctions can be applied to a centre and/or learner without the requirement for a malpractice panel. This will be approved by the Head of Compliance and will be applied to assure AIM on the quality and integrity of the delivery of our products.</p>

	<ul style="list-style-type: none"> <li>▪ Learner registration does not follow the requirements of AIM</li> <li>▪ The centre does not provide samples for standardisation when requested</li> </ul> <p>Failure to accurately follow AIM policies and procedures and a subsequent adverse effect has not been caused. Suspected or actual malpractice not reported to AIM</p>		
Level	Examples	Sanction	Resulting in
2	<ul style="list-style-type: none"> <li>▪ Appropriate centre staff and policies detailed in the centre recognition still not in place</li> <li>▪ Specified required resources for delivery and assessment not in place (<i>including equality and diversity requirements</i>)</li> <li>▪ Insufficient assessors or internal verifiers</li> <li>▪ Any specialist assessor/internal verifier requirements have not been met</li> <li>▪ Assessors have insufficient time, resources or authority to perform their role</li> <li>▪ Records are insufficient to allow for an audit of assessment</li> <li>▪ Lower-level sanction has not been adequately addressed               <ul style="list-style-type: none"> <li>- Suspected or actual malpractice not reported to AIM</li> <li>- Failure to ensure secure storage and/or transportation of external assessment materials.</li> <li>- Compromised security of external assessment materials and/or online question banks.</li> </ul> </li> </ul>	Restriction on assessment and examination materials	<ul style="list-style-type: none"> <li>▪ Assessment materials and examination papers provided to the centre shortly before such materials and papers are scheduled to be used</li> <li>▪ Examination papers opened and distributed under the supervision of a responsible officer from AIM, or an agent appointed by AIM</li> <li>▪ Completed scripts and any relevant accompanying documentation handed over to a responsible officer from AIM or an agent appointed by AIM, rather than using the normal script collection or dispatch procedures</li> </ul>
		Additional monitoring	<ul style="list-style-type: none"> <li>▪ Additional monitoring, at the centre's expense. This monitoring could include EQA monitoring, quality assurance monitoring visits by AIM. The additional fees for this monitoring is as per the AIM fees and charges policy.</li> </ul>
		Action plan	<ul style="list-style-type: none"> <li>▪ An agreed action plan implemented by the centre as a condition of AIM continuing to accept entries or registrations from the centre.</li> </ul>

		Restriction on learner certification	<ul style="list-style-type: none"> <li>Where applicable, qualifications which are set to results processing, which means no EQA monitoring is required for certificates to be issued, these qualifications will be changed to QA verification until the sanction is removed or matter is resolved.</li> </ul> <p>** Level 2 Sanctions can be applied to a centre and/or learner without the requirement for a malpractice panel. This will be approved by the Head of Compliance and will be applied to assure AIM on the quality and integrity of the delivery of our products.</p>
		Suspension of learner registrations or entries	<ul style="list-style-type: none"> <li>Learner entries or registrations from a centre refused by AIM for a period of time or until a specific matter has been rectified.</li> <li>No new learner enrollments can be made during this time.</li> </ul>
Level	Examples	Sanction	Resulting in
3	<ul style="list-style-type: none"> <li>Exam material compromised (<i>eg, not stored correctly</i>)</li> <li>Records of assessment show serious anomalies</li> <li>Certification claims made before all the requirements of assessment are satisfied</li> <li>Centre fails to provide access to requested information, records, candidates work, candidates and staff within reasonable timeframe</li> <li>Non-payment of invoices</li> <li>Lower-level sanction has not been adequately addressed</li> </ul>	Additional monitoring plus one of the below	<ul style="list-style-type: none"> <li>Additional monitoring, at the centre's expense.</li> </ul>
		Independent invigilators	<ul style="list-style-type: none"> <li>Independent invigilators appointed for a specified period of time, at the centre's expense, to ensure the conduct of assessments and/or examinations is in accordance with published regulations.</li> </ul>
		Suspension of learner registrations or entries	<ul style="list-style-type: none"> <li>Learner entries or registrations from a centre refused by AIM for a period of time or until a specific matter has been rectified.</li> </ul>

	<ul style="list-style-type: none"> <li>Suspected or actual malpractice not reported to AIM</li> <li>Delivery of qualification without approval</li> <li>Non signing of centre agreement</li> <li>Non completion of annual declaration</li> <li>Non responsive to communications or deadline provided by AIM</li> <li>Failure to allow AIM to conduct unannounced observations</li> </ul>		<ul style="list-style-type: none"> <li>No new learner enrollments can be made during this time.</li> </ul>
		Suspension of certification	<ul style="list-style-type: none"> <li>Learner certificates not issued by AIM for a period of time or until a specific matter has been rectified</li> </ul> <p><b>** Level 3 Sanctions can be applied to a centre and/or learner without the requirement for a malpractice panel. This will be approved by the Head of Compliance and will be applied to protect the integrity of our qualifications</b></p>
Level	Examples	Sanction	Resulting in
4	<ul style="list-style-type: none"> <li>Malpractice/maladministration identified which has caused an adverse effect</li> <li>Investigation and action planning arising from malpractice/maladministration is not an effective preventative measure</li> <li>Centre not complying with requests for monitoring and investigation</li> <li>Significant faults in the management and quality assurance of one or some AIM qualifications or units</li> <li>Significant concerns over storage and use of learner data</li> <li>Lower-level sanction has not been adequately addressed</li> <li>Suspected or actual malpractice not reported to AIM</li> </ul>	Withdrawal of approval for a specific qualification(s)	<ul style="list-style-type: none"> <li>Approval of a centre to offer and deliver one or more AIM qualifications withdrawn.</li> </ul>

Level	Examples	Sanction	Resulting in
5	<ul style="list-style-type: none"> <li>The centre does not comply with the conditions of centre recognition</li> <li>Significant malpractice/maladministration identified</li> <li>Centre not assisting with investigation into malpractice/maladministration</li> <li>Centre not following centre recognition or qualification approval withdrawal process correctly</li> <li>Significant faults in the management and quality assurance of all AIM qualifications and units</li> <li>Lower-level sanctions not acted on/actions set not adhered to/corrective measures consistently not put in place over a period of time</li> <li>Suspected or actual malpractice not reported to AIM</li> </ul>	Withdrawal of centre recognition	<ul style="list-style-type: none"> <li>Recognition or approval of a centre withdrawn.</li> <li>The centre not able to offer or deliver to learners the qualifications of AIM.</li> <li>Regulators, other awarding organisations and other appropriate authorities informed of AIM's decision to withdraw recognition or approval of the centre.</li> <li>The centre informed by AIM, at the time of withdrawal, of the earliest date at which it can re-apply for registration and any measures it will need to take prior to this application.</li> <li>The centre understanding that centre re-approval will not be treated as a formality.</li> </ul>

## 2.5 Centre staff sanctions

These are not exhaustive lists of examples and are only intended as indicative guidance.

Level	Examples	Sanction	Resulting in
1	<ul style="list-style-type: none"> <li>Guidance on the assessment of learners with particular requirements is not followed</li> <li>The Access to HE grading scheme has not been implemented correctly</li> <li>Unit specifications are not fully understood or adhered to</li> <li>Internal verification procedures are not correctly implemented</li> <li>Communication within the assessment team and/or with AIM is not effective.</li> <li>Suspected or actual malpractice not reported to AIM</li> </ul>	Written warning	<ul style="list-style-type: none"> <li>Member of staff issued with a written warning that if the offence is repeated within a set period of time, further specified sanctions will be applied.</li> </ul>
2	<ul style="list-style-type: none"> <li>The Access to HE grading scheme continues to be incorrectly applied</li> <li>Assessment decisions are not consistent</li> <li>Records are insufficient to allow for an audit of assessment</li> <li>Lower-level sanction has not been adequately addressed</li> <li>Suspected or actual malpractice not reported to AIM</li> </ul>	Training	<ul style="list-style-type: none"> <li>Member of staff required to undertake specific training or mentoring, within a set period of time, with a review at the end of the training.</li> </ul>
3	<ul style="list-style-type: none"> <li>Malpractice/maladministration identified</li> <li>Assessed work is not the authentic work of learners and is not correctly identified</li> <li>Assessment does not meet national standards</li> <li>Invalid Access to HE grading decisions</li> </ul>	Special conditions	<ul style="list-style-type: none"> <li>Member of staff required to undertake specific training or mentoring, within a set period of time, with a review at the end of the training.</li> </ul>

	<ul style="list-style-type: none"> <li>Assessment decisions are unfair and/or do not give due regard to equality</li> <li>Records of assessment show serious anomalies</li> <li>Certification claims made before all the requirements of assessment are satisfied</li> <li>Lower-level sanction has not been adequately addressed</li> <li>Failure to follow AIM policies and procedures which has resulted in an adverse effect.</li> <li>Suspected or actual malpractice not reported to AIM</li> </ul>		<ul style="list-style-type: none"> <li>Member of staff imposed with special conditions on their future involvement in assessments and/or examinations.</li> </ul>
Level	Examples	Sanction	Resulting in
4	<ul style="list-style-type: none"> <li>Significant malpractice/maladministration identified</li> <li>Ongoing failure to meet the requirements for reliable, robust assessment</li> <li>Lower-level sanctions not acted on/actions set not adhered to/corrective measures consistently not put in place over a period of time</li> <li>Suspected or actual malpractice not reported to AIM</li> </ul>	Suspension	<ul style="list-style-type: none"> <li>Member of staff barred from all involvement in the delivery or administration of assessments and/or examinations for a set period of time.</li> </ul>

## 2.6 Learner sanctions

These are not exhaustive lists of examples and are only intended as indicative guidance.

Level	Examples	Sanction	Resulting in
1	<ul style="list-style-type: none"> <li>Introducing unauthorised material into the examination room which does not provide an advantage</li> <li>Mobile phone or similar electronic devices not in the learner's possession but making a noise in the examination room</li> <li>Minor disruptive behaviour in the examination room or assessment session</li> <li>Isolated incident of communication during an examination or assessment session, where this is not allowed, but which has no bearing on the assessment</li> <li>The inclusion of inappropriate isolated words, drawings or obscene material in formal assessment, which are inappropriate and/or mildly offensive</li> <li>Working collaboratively with other learners beyond what is permitted, but likely due to teacher/assessor advice with learners unaware of the regulations</li> <li>Minor plagiarism/poor referencing in places</li> <li>Lending work not knowing it would be copied</li> <li>Misuse of artificial intelligence (AI) software such that the work submitted for assessment is not their own</li> <li>Minor deliberate destruction of work but which does not impair visibility</li> </ul>	Warning	<ul style="list-style-type: none"> <li>Learner issued with a warning that if the offence is repeated within a set period of time, further specified sanctions will be applied</li> </ul>



Level	Examples	Sanction	Resulting in
2	<ul style="list-style-type: none"> <li>Introducing unauthorised material into the examination room which provides an unfair advantage</li> <li>Mobile phone or similar electronic devices in the learner's possession but not used by the learner</li> <li>Repeated or prolonged disruptive behaviour in the examination room or assessment session</li> <li>Attempting to source secure assessment related information on-line/via social media</li> <li>Accepting examination/assessment related information</li> <li>The inclusion of inappropriate frequent mild obscenities, drawings, strongly obscene material or isolated mild obscenities or offensive comments aimed at centre staff</li> <li>Working collaboratively with other learners which affects the examiner's/assessor's ability to award a fair mark to an individual learner</li> <li>Plagiarism from published work which is referenced or listed in the bibliography, or a minor amount of plagiarism from a source not referenced or listed in the bibliography</li> <li>Misuse of artificial intelligence (AI) software such that the work submitted for assessment is not their own</li> <li>Showing answers to other learners or permitting work to be copied</li> <li>Deliberate destruction of learner's own work</li> <li>Accepting/receiving real or fake assessment related information via social media without reporting it to AIM</li> </ul>	Loss of all marks for a unit	<ul style="list-style-type: none"> <li>Learner losing all marks gained for the unit</li> </ul>
		Disqualification from a unit	<ul style="list-style-type: none"> <li>Learner disqualified from the unit</li> </ul>

Level	Examples	Sanction	Resulting in
3	<ul style="list-style-type: none"> <li>Introducing unauthorised material into the examination room in a deliberate attempt to gain an unfair advantage</li> <li>Mobile phone or similar electronic devices in the learner's possession and being used</li> <li>Repeated disruptive behaviour in the examination room or assessment session with warnings ignored</li> <li>Passing examination/assessment related information to other learners</li> <li>The inclusion of inappropriate offensive comments, obscenities or lewd drawings aimed at centre staff or groups, which are homophobic, transphobic, racist or sexist</li> <li>Learner work reflects extensive similarities and identical passages due to shared work</li> <li>Plagiarised text makes up the majority of the work submitted and the source is referenced or listed in the bibliography, or plagiarism from published work which is not referenced or listed in the bibliography</li> <li>Misuse of artificial intelligence (AI) software such that the work submitted for assessment is not their own</li> <li>Borrowing work with the intention of copying from another learner</li> <li>Significant deliberate destruction of another learner's work</li> <li>Misuse of real or fake assessment material including attempting to gain or gaining prior knowledge of assessment information via social media, improper disclosure of real or fake assessment information, passing or distributing real or fake assessment related information to others</li> </ul>	Disqualification from all units in one or more qualifications	<ul style="list-style-type: none"> <li>Learner being disqualified from all units in the same assessment or examination series</li> <li>Any units banked in a previous assessment or examination series being retained</li> <li>Learner being barred from the qualification and/or associated assessments for a specified period of time.</li> </ul>

### 2.7 Communication of decisions

**2.7.1** AIM will communicate all sanctions applied to the centre, learner and staff via letter issued electronically to the Head of Centre. The letter will detail:

- the nature of the sanction
- the rationale for its application
- an action plan, where appropriate

**2.7.2** AIM Qualifications and Assessment Group will communicate any sanctions applied to the appropriate regulatory authorities, where an adverse effect may occur, and other awarding organisations, where the sanction includes removal of centre or qualification approval.

### 2.8 Removal of sanctions

**2.8.1** Imposed sanctions will remain in place until one or more of the below have been met:

- The matter has been resolved to the satisfaction of AIM
- Investigation into the issue(s) is complete and AIM is assured that there is no longer a threat to its integrity
- An appeal has been successfully upheld or the specified time has passed and the centre is eligible to reapply for centre recognition and qualification approval

**2.8.2** AIM may reduce the sanction applied as a result of the above but reserves the right to maintain a sanction or escalate the sanction level based on further information identified, to protect its integrity.

**2.8.3** Removal of sanctions may also be dependent on external forces outside of AIM, eg, the regulator. Where this occurs AIM Qualifications and Assessment Group will inform centres and work with them to resolve the situation.

### 2.9 Centre application for reinstatement

**2.9.1** Once a centre has had their centre approval withdrawn or a qualification removed, a period of three years or specified time must elapse before an application can be made for reinstatement. In circumstances where reinstatement applications would not be considered this will be stated within the notification of sanction.

**2.9.2** Where qualification and/or centre approval has been removed, a full approval application must be completed by the centre which may be chargeable.

### 2.10 Learner disqualification

**2.10.1** A disqualified learner is one who has committed a malpractice offence whilst completing a course and/or qualification with AIM Qualifications and Assessment Group. AIM reserves the right, in addition to any learner sanctions, to apply a bar which will prevent a disqualified learner from completing an AIM qualification or examination for a specified time.

### 2.11 Fees

**2.11.1** AIM Qualifications and Assessment Group reserves the right to terminate approval and/or centre recognition with any centre who does not meet its payment terms. Any fees which have been previously paid or invoiced will be non-refundable.

**2.11.2** In all such instances, AIM Qualifications and Assessment Group will endeavour to ensure the security of learner achievement and will discuss options available to the centre.

**2.11.3** Where sanctions involve any extra visits or additional monitoring activities to the centre, this will be at the centre's expense. The fees are non-refundable.

**2.11.4** AIM publishes its charges annually. These run from 1 August to 31 July each year. A copy of the AIM Qualifications and Assessment Group [fees and charges policy](#) is available from AIM's website.

### 2.12 Appeals against the decision or action

**2.12.1** Appeals can only be, where it is evident that AIM or centre policies and procedures have not been properly or fairly followed and/or applied consistently. A copy of the [AIM Appeals Policy](#) is available from AIM's website.

## Section 3 - Regulatory References

### Conditions, Principles and licencing criteria

This policy is intended to meet our regulatory requirements. In particular:

Section	Condition/Principle/Licensing criteria
Identification and management of risk	Condition A6
Management of incidents	Condition A7
Notification of certain events	Condition B3
Compliance with regulatory documents	Condition B7
Arrangements with centres	Condition C2.3
Setting the assessment	Condition G1
Completion of the assessment under the required conditions	Condition G8
Delivering the assessment	Condition G9
Marking the assessment	Condition H1
Moderation where an assessment is marked by a centre	Condition H2
Results of a qualification based on sufficient evidence	Condition H5
Appeals process	Condition I1
The awarding body must demonstrate an effective approach to the identification and management of risk	Principle 4
The awarding body and its providers must provide clear information on their procedures, products and services and ensure that they are accurate and appropriate to accredited qualifications	Principle 5
The awarding body and its providers must ensure that they have systems and processes which ensure the effective quality assurance of accredited qualifications	Principle 13
The awarding body and its providers must have clear, fair and equitable systems, policies and procedures to manage appeals	Principle 17
The awarding body and its providers must ensure that it has safeguards to prevent and manage cases of malpractice and maladministration	Principle 18
Withdrawal of approval of Access to HE providers, diplomas and courses	Licensing Criteria 8c
Withdrawal of Access to HE diploma providers and courses	Licensing Criteria 9a
Withdrawal of provider or course approval	Licensing Criteria 21
Documented accessible procedures for appeals	Licensing Criteria 30a, c
Procedures for appeals	Licensing Criteria 31
Monitoring performance and compliance	Licensing Criteria 54
Risk assessed based monitoring of provider performance	Licensing Criteria 55
Documented procedures for the performance management of providers	Licensing Criteria 56
Action to amend, suspend or withdraw approval from a provider	Licensing Criteria 57

## Section 4 - Appendix

### Appendix 1 - Useful contacts

The following provides contact details for AIM Qualifications and Assessment Group and its regulators.

#### AIM Qualifications and Assessment Group contact details

If you have any queries about the contents of the policy, please contact us.

Telephone: [0333 034 8833](tel:0333 034 8833)

Email: [enquiries@aimgroup.org.uk](mailto:enquiries@aimgroup.org.uk)

#### Regulators' contact details

##### CCEA

Telephone: [02890 261 200](tel:02890 261 200)

Email: [info@ccea.org.uk](mailto:info@ccea.org.uk)

##### Ofqual

Telephone: [0300 303 3344](tel:0300 303 3344)

Email: [public.enquiries@ofqual.gov.uk](mailto:public.enquiries@ofqual.gov.uk)

##### Qualifications Wales

Telephone: [0333 077 2701](tel:0333 077 2701)

Email: [enquiries@qualificationswales.org](mailto:enquiries@qualificationswales.org)

##### SQA Accreditation

Telephone: [0345 279 1000](tel:0345 279 1000)

Email: [accreditation@sqa.org.uk](mailto:accreditation@sqa.org.uk)

##### The Quality Assurance Agency for Higher Education (QAA)

Telephone: [01452 557 000](tel:01452 557 000)

Email: [enquiries@qaa.ac.uk](mailto:enquiries@qaa.ac.uk)

**Disclaimer:** Please note that any downloaded version of our policies may not be the most current iteration. For the latest updates and accurate information, kindly refer to the version available on our official website.