



# FutureQuals<sup>®</sup>

## Sanctions Policy

### Who is this policy for

This policy applies to all individuals and organisations involved in the design, development, delivery, assessment, quality assurance, and awarding of FutureQuals qualifications.

**Version** | **POL204-V26-1**

**Disclaimer:** 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.

Version	Date	Description
POL204-V26-1	January 2026	Full policy rewrite using new template Previous Policy Reference - POL019-V25-1

Please note: This version replaces all previous versions.

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## Policy

FutureQuals may impose sanctions on Approved Centres, Centre staff, or Learners where there is evidence of non-compliance, malpractice, or other breaches of contractual or regulatory requirements.

Sanctions are applied to protect the integrity of qualifications, ensure public confidence, and safeguard learner interests.

Sanctions may be applied to:

- A single qualification
- A qualification sector or type
- All qualifications
- Centre approval
- Individual staff or learners

Sanctions will be proportionate to the seriousness of the issue, the Centre's track record, and the risk posed to learners and qualification integrity. Repeated or unresolved issues may result in escalation of the sanction level.

Sanctions may be applied at any level deemed appropriate by FutureQuals and do not need to follow a sequential escalation. Each case is assessed on its own merits, and the level of sanction imposed reflects the nature and severity of the non-compliance or risk identified.

FutureQuals may also share information about imposed sanctions with other Awarding Organisations, which may impact a Centre's ability to deliver qualifications with those organisations.

### Responsibilities

FutureQuals

- Investigate non-compliance and apply appropriate sanctions
- Notify regulators and other awarding organisations where required
- Monitor resolution and ensure integrity of qualifications

Approved Centres

- Ensure staff and learners are aware of this policy
- Implement corrective actions
- Notify FutureQuals of relevant personnel changes

Centre Staff

- Comply with FutureQuals policies and procedures
- Cooperate with investigations
- Undertake training or comply with conditions if sanctioned

Learners

- Maintain integrity of assessments
- Cooperate with investigations
- May be disqualified or barred if found to have committed malpractice

### **Administrative Hold (Pre-Sanction Stage)**

Before applying any formal sanction, FutureQuals may place an Approved Centre or an individual under an Administrative Hold. This is a temporary, precautionary measure used where concerns have been identified but further information, engagement, or action from the Centre or individual is required before determining whether a full sanction is appropriate.

A Centre Administrative Hold may be applied where, for example:

- The Centre has not responded to attempts by FutureQuals to contact them regarding a compliance concern or a malpractice/maladministration investigation
- Information requested by FutureQuals has not been provided within agreed timeframes
- There is an emerging issue that may pose a risk to learners, qualification integrity, or regulatory compliance, and clarification or action is required from the Centre
- Finance terms and conditions have not been met.

While under Administrative Hold an Approved Centre:

- May not register new learners
- Have any certification claims processed
- Must engage with FutureQuals to resolve the issue or agree an appropriate action plan.

An Individuals Administrative Hold may be applied where, for example:

- The individual has not responded to attempts by FutureQuals to contact them regarding a compliance concern or a malpractice/maladministration investigation
- Information requested by FutureQuals has not been provided within agreed timeframes
- There is an emerging issue that may pose a risk to learners, qualification integrity, or regulatory compliance, and clarification or action is required from the Centre

While under Administrative Hold an Individual:

- May not be registered onto a new FutureQuals qualification
- May not be involved in the delivery, assessment or quality assurance of FutureQuals qualifications
- Have any certification issued for themselves
- Must engage with FutureQuals to resolve the issue or agree an appropriate action plan.

The Administrative Hold will remain in place for up to 30 calendar days.

If FutureQuals is satisfied that the Centre has engaged appropriately and that adequate progress has been made, the Administrative Hold may be lifted.

If the Centre fails to engage, does not make satisfactory progress, or the issue is found to be more serious than initially understood, the matter may be escalated to an appropriate formal sanction as set out in the Sanction Levels section of this policy.

### Sanction Levels

Level	Description
1	Action plan in place
2	Suspension of certification
3	Suspension of registration
4	Temporary suspension of approval for specific qualifications
5	Permanent withdrawal of approval for specific qualifications
6	Temporary suspension of Centre Approval
7	Permanent withdrawal of Centre Approval

Sanctions may also include:

- Written warnings
- Special conditions
- Mandatory training
- Suspension or permanent barring of individuals
- Disqualification of learners
- Revocation of certificates

### Links to other policies

This policy should be read in conjunction with the following policies and procedures:

- Malpractice and Maladministration Policy
- Enquiries about Results, Appeals and Complaints Policy

### Links to regulatory criteria

Regulator	Regulatory rule or guidance document	Regulatory condition / principle
CCEA/ Ofqual/ QW	Standard / General Conditions of Recognition	A6, A7, A8, C2
Ofqual	EPA Qualification Level Conditions and Requirements	
SQA Accreditation	Regulatory Principles (2021)	RP12, RP13

## Definitions

<b>Adverse Effect</b>	An act, omission, event, incident, or circumstance has an Adverse Effect if it – (a) gives rise to prejudice to Learners or potential Learners, or (b) adversely affects – (i) 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 (ii) the standards of qualifications which the awarding organisation makes available or proposes to make available, or (iii) public confidence in qualifications.
<b>Sanction</b>	An action imposed by FutureQuals on an Approved Centre, individual staff member, or learner in response to non-compliance, malpractice, or other breaches of regulatory or contractual requirements. Sanctions aim to protect the integrity of qualifications and the interests of learners.

## Process

1. Identification - Concerns may be raised through quality assurance, complaints, or investigations.
2. Investigation - Led by FutureQuals. May include a request for incident reports or evidence from the Approved Centre.
3. Determination of Sanction - Based on seriousness, track record, and risk. May be applied to individuals or the Centre.
4. Notification - Formal written notification issued electronically to the Head of Centre.  
Includes: nature of sanction, rationale, and action plan (if applicable).  
Includes: Nature of FutureQuals may notify regulators and other Awarding Organisations where appropriate.
5. Monitoring and Removal - Sanctions remain until the matter is resolved to FutureQuals' satisfaction or an appeal is upheld

Sanctions may be escalated if actions are not addressed or further risk is identified.

## Review Date

This policy shall be reviewed periodically or updated should there be any changes to legislation, regulation or custom and practice.