

Counter Fraud Professional Accreditation Board

Sanctions and Appeals Policy: Accredited Training Providers and applicants who wish to become Accredited Training Providers

1. Introduction

1.1 This document builds upon the Board's complaints policy and sets out the Board's policies in respect of the imposition of sanctions and appeals against sanctions arising either out of complaints received by the Board or through other governance measures the Board might seek to adopt and apply.

2. Scope

2.1 This policy applies to all training providers who currently are or seek to become accredited providers through the Counter Fraud Professional Accreditation Board. The policy also extends to any sub-contractors, consultants or freelance training providers used by accredited training providers.

3. Statement

3.1. The Board wishes to ensure that all training providers which hold an accreditation with the Board are able to demonstrate high standards in the design and delivery of their services and in the way they govern themselves.

3.2. The Board has consequently set out a number of areas of operation where accredited bodies are required to demonstrate high standards and good governance.

3.3. The Board reserves the right to impose sanctions against those bodies which fail to demonstrate high standards and good governance in the areas described at Annex A to this policy.

3.4. The sanctions available to the Board are set out at Annex B

3.5. The process for appealing against the imposition of sanctions is at Annex C.

3.6. The address to which correspondence concerning this policy and related processes is at Annex D.

Annex A

Areas of operation

1. Quality

The Board may from time to time seek evidence relating to the quality of:

- teaching delivery
- teaching materials
- assessment processes
- venues used

2. Policies and Procedures

The Board may also call for evidence that all those covered by the scope of this policy have their own policies and procedures in respect of:

- equal opportunities and diversity
- complaints
- protection of data
- quality assurance
- discipline and grievances
- assessment and plagiarism
- health and safety

Annex B

Sanctions

This policy sets out three levels of non-compliance; they are “misconduct”, “serious misconduct” and “gross misconduct”.

Misconduct

The Board deems the following as examples of behaviour constituting misconduct. This list is not exhaustive and the Board reserves the right to investigate and judge each case coming to its attention individually and on its merits

- failure to provide evidence within a reasonable period of time following receipt of a request from the Board
- failure to comply, without good reason, with an internal procedure or process in respect of an area of operation in annex A to this policy
- failure to ensure that sub-contractors, consultants or freelance training providers comply with this policy, or policies stipulated by the accredited body

Sanctions which may be applied in cases of misconduct

- a verbal 'warning' requiring change or rectification, this may set out what is required by the Board, the time scale for completion and what evidence must be provided to demonstrate compliance
- escalation to serious misconduct

Serious misconduct

The Board deems the following as examples of behaviour constituting serious misconduct. This list is not exhaustive and the Board reserves the right to investigate and judge each case coming to its attention individually and on its merits

- failure to act in accordance with any verbal “warning” given under the misconduct process
- continued or persistent failure to provide evidence within a reasonable period of time following receipt of a request from the Board
- continued or persistent failure to comply, without good reason, with an internal procedure or process in respect of an area of operation in annex A to this policy
- continued or persistent failure to ensure that sub-contractors, consultants or freelance training providers comply with this policy, or policies stipulated by the accredited body

Sanctions which may be applied in cases of serious misconduct

- a written 'warning' requiring change or rectification, this may set out what is required by the Board, the time scale for completion and what evidence must be provided to demonstrate compliance
- escalation to gross misconduct

Gross misconduct

The Board deems the following as examples of behaviour constituting gross misconduct. This list is not exhaustive and the Board reserves the right to investigate and judge each case coming to its attention individually and on its merits.

- failure to comply with a written warning issued under the serious misconduct procedure set out above
- failure to comply, without good reason, with an internal procedure or process in respect of an area of operation in annex A to this policy with consequences which the Board believes may bring it into disrepute
- failure to ensure that sub-contractors, consultants or freelance training providers comply with this policy, or policies stipulated by the accredited body with consequences which the Board believes may bring it into disrepute

Sanctions which may be applied in cases of gross misconduct

- Suspension of a course or programme of learning from its accredited status
- Removal of a course or programme of learning from its accredited status
- Suspension of an accredited provider from accredited status
- Removal of an accredited provider from accredited status

Annex C

Appeals against Sanctions

Appeals against sanctions must be made in writing to the Secretariat within 28 days from the date of notification of the sanction to be applied. This should set out the following:

- a summary of the nature of the appeal
- any matters of fact which are in dispute and why they are disputed
- any matters of law which may be relevant to the appeal
- details of any parties who may be called upon in support of the appeal

Within 28 days of receipt of this the Board will convene an appeals panel. The Board will consider the appeal at this stage and may make any of the following decisions:

Misconduct: In cases of misconduct the Board may:

- allow the appeal and remove the oral warning
- convene an appeals tribunal and offer the appellant an opportunity to make representations either in writing or in person

Serious misconduct:

- allow the appeal and remove the sanction and take no further action
- consider the case as one of misconduct only and impose a lesser sanction

- continue to consider the case as one of gross misconduct but impose a lesser sanction
- convene an appeals tribunal and offer the appellant an opportunity to make representations either in writing or in person

Gross misconduct: in cases of gross misconduct the Board may:

- allow the appeal and take no further action
- consider the case as one of serious misconduct only and impose a lesser sanction, or take no further action
- consider the case as one of misconduct only and impose a lesser sanction, or take no further action
- continue to consider the case as one of gross misconduct but impose a lesser sanction
- convene an appeals tribunal and offer the appellant an opportunity to make representations either in writing or in person

Annex D

Correspondence regarding this policy and related processes should be sent to:

Projects Administrator

University of Portsmouth
Institute of Criminal Justice Studies
Ravelin House
Ravelin Park
Museum Road
Portsmouth
PO1 2QQ