



AAT Code of Practice for Training Providers

01 September 2016

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Document change history

This version replaces all previous versions of the document.

It is the training provider's responsibility to ensure that all staff involved in the delivery of AAT qualifications familiarise themselves with this version of the document.

There have been a number of changes to the content of this document, as well as to the formatting and layout. The key changes are outlined below.

- Amendment to restrictions on who can invigilate (see 7.3)
- Addition of section relating to employer engagement (see 9.1.4)
- Clarification of Assessor and IV arrangements in light of AQ2016
- Assessor and IV qualification requirements moved to Appendix 1 and Appendix 2
- Table of sanctions for Levels 1, 2, and 3 sanctions moved to Appendix 3.
- Two additional sanctions added, 2aa and 2ab, regarding the timeframes for assessing internally verifying Computer Based Projects.
- Centre withdrawal now referred to as a Level 4 Sanction.

The document is maintained electronically and may be updated from time to time. Electronic copies are version controlled. However, printed copies are not subject to this control.

1. Introduction

- 1.1 This document explains the minimum requirements for the delivery of AAT qualifications. Training providers must adopt and implement these requirements for all AAT qualifications that they are approved to deliver.
- 1.2 The AAT *Code of Practice* incorporates relevant regulatory requirements that are published by the qualifications regulators in England, Wales, Northern Ireland, and Scotland.
- 1.3 This document should be read in conjunction with the AAT *Centre agreement*, the *Guidance for training providers* and the relevant qualification specifications. It is the responsibility of training providers to ensure they comply fully with the requirements specified in these documents. Failure to comply with these requirements may result in sanctions being applied.

2. Working with AAT

- 2.1 AAT qualifications may only be offered by training providers that are approved to do so by the AAT awarding organisation. Training providers must:
 - 2.1.1 identify a single named point of accountability for the quality assurance and management of AAT qualifications and their assessments
 - 2.1.2 where assessment is undertaken by the training provider, hold and transmit securely details of assessment outcomes to AAT
 - 2.1.3 have the staff, resources and systems necessary to support:
 - the assessment of units (where assessment is undertaken by the training provider)
 - the consideration and recording of exemptions, where necessary
 - 2.1.4 have arrangements in place to access students' previous achievements and exemptions from their learner record
 - 2.1.5 have administrative systems in place to track the progress of students
 - 2.1.6 document the respective roles and responsibilities of any partnership arrangements with other organisations
 - 2.1.7 inform AAT promptly when qualification or training provider approval has been withdrawn by another awarding organisation, including the name of the awarding organisation involved and the reasons for the withdrawal.

3. Student registration

- 3.1 Training providers must ensure that students meet the **suitability assessment criteria** published by AAT and that each student submits an application for student membership to AAT within four weeks of enrolment. Failure to do so may disadvantage students, as they will be unable to take an assessment until they obtain a student membership number. Details on how to apply for student membership may be found at aat.org.uk/register/student-start.
- 3.2 If a training provider becomes aware that a student no longer meets the suitability assessment criteria, they must inform the student to declare their change in circumstances to AAT within 30 days, to aatstandards@aat.org.uk.

3.3 Training providers must keep records of students registered for each qualification offered, including:

- student's name
- date of birth
- contact address
- workplace address and contact details
- assessor(s) name(s) (if applicable)
- internal verifier(s) name(s) (if applicable)
- the student's Unique Learner Number or Scottish Candidate Number
- date of registration with AAT
- records of employer engagement (if applicable).

Student members transferring from another training provider

3.4 Training providers must ensure that when a student transfers from one training provider to another, the Membership Support team at AAT is informed by email at membershipsupport@aat.org.uk.

Training provider staff wishing to register as students for an AAT qualification

3.6 Training providers must ensure that any member of staff (including contractors) wishing to register for an AAT qualification seeks prior approval from AAT. The request must be put in writing to aatquality.assurance@aat.org.uk.

3.7 The request should include a plan of how the provider will manage any potential conflict of interest that may arise from this arrangement.

4. Internal assessment

4.1 Where any aspect of the assessment is undertaken by the training provider, or where the training provider wishes to claim Recognition of Prior Learning (RPL) for any learners, the training provider must ensure there are sufficient, competent and appropriately qualified assessors, and that the number of assessors is proportionate to the number of students.

4.2 Approval must be sought from aatquality.assurance@aat.org.uk before any new member of staff begins to assess on AAT programmes.

4.3 Assessors must hold relevant qualifications to assess AAT qualifications. A list of the relevant qualifications required to assess each AAT qualification is given in Appendix 1.

4.4 Assessors that do not hold the qualifications listed in Appendix 1 but consider that they have relevant alternatives should send details of these alternatives, along with details of the units they wish to assess, to aatquality.assurance@aat.org.uk.

4.5 Where assessors are working towards an assessor qualification, training providers must ensure that they achieve it within 12 months of starting their role. Once qualified, the assessor will be eligible to access the AAT assessment platform.

4.6 In undertaking their role, assessors must:

4.6.1 adhere to the relevant qualification specifications and any guidance related to assessment, standardisation and quality assurance published by AAT

4.6.2 record assessment decisions and maintain assessment records in accordance with AAT requirements

- 4.6.3 keep their knowledge and skills up to date through continuing professional development.
- 4.7 Training providers must not allow unqualified assessors to report assessment results. The assessment decisions of assessors who are working towards assessor qualifications must be checked, authenticated and counter-signed by a qualified assessor or internal verifier.
- 4.8 Internal verifiers must sample an increased proportion of assessment decisions that are made by unqualified assessors. The internal verifier undertaking the sampling must not be the same person who undertook the counter-signing.
- 4.9 Training providers must ensure that assessors, and those working towards an assessor qualification, do not assess evidence of relatives, friends or others with whom they have a close relationship.
- 4.10 Training providers must ensure assessors understand their role and remain competent to perform it by providing training and continuing professional development (CPD) opportunities.
- 4.11 Training providers must keep copies of the occupational competence/certificates of assessors, along with records of all training and CPD undertaken. These records must be made available to AAT when requested.
- 4.12 Training providers must have performance management systems in place to monitor and evaluate the effectiveness of individuals involved in the assessment process.
- 4.13 Training providers must ensure that they have processes in place for the standardisation and quality assurance of assessment outcomes. Evidence of standardisation activities will be monitored by AAT.

5. Internal verification

- 5.1 Where any aspect of the assessment is undertaken by the training provider, or where the training provider wishes to claim Recognition of Prior Learning (RPL) for any learners, the training provider must:
 - 5.1.1 have published internal verification policies and procedures to ensure the accuracy and consistency of assessment decisions between assessors
 - 5.1.2 appoint Internal verifiers to sample evidence of assessment decisions made by all assessors working for the training provider
 - 5.1.3 ensure that internal verifiers have a thorough understanding of AAT qualifications and the ability to apply the standards within a working environment
 - 5.1.4 maintain up to date records of internal verification and sampling activity, to be made available to AAT on request
 - 5.1.5 ensure that internal verifiers monitor and support the work of assessors.
- 5.2 Training providers must ensure that there are sufficient, competent and appropriately qualified internal verifiers, and that the number of internal verifiers is proportionate to the number of assessors.
- 5.3 Approval must be sought from aatquality.assurance@aat.org.uk before any new member of staff undertakes internal verification on AAT programmes.
- 5.4 Internal verifiers must hold relevant qualifications to verify AAT qualifications. A list of the relevant qualifications required to verify each AAT qualification is given in Appendix 2.

- 5.5 Internal verifiers that do not hold the qualifications listed in Appendix 2 but consider they have relevant alternatives should send details of these alternatives, along with details of the units they wish to verify, to aatquality.assurance@aat.org.uk.
- 5.6 Where internal verifiers are working towards an internal verifier qualification, training providers must ensure that they achieve it within 12 months of starting their role. Once qualified, the internal verifier will be eligible to access the AAT assessment platform.
- 5.7 In undertaking their role, internal verifiers must:
- 5.7.1 monitor assessors' assessment decisions on a regular basis
 - 5.7.2 provide advice and guidance to assessors on assessment practice
 - 5.7.3 be available to provide feedback to AAT and external verifiers
 - 5.7.4 fulfil the requirements of any actions identified by an external verifier
 - 5.7.5 adhere to the relevant qualification specifications and any guidance related to assessment, standardization and quality assurance published by AAT
 - 5.7.6 record verification decisions and maintain verification records in accordance with AAT requirements
 - 5.7.7 keep their knowledge and skills up to date through CPD.
- 5.8 Training providers must not allow unqualified internal verifiers to verify assessment results. The decisions of unqualified internal verifiers must be checked, authenticated and counter-signed by a qualified internal verifier with the relevant occupational competence and expertise.
- 5.9 Internal verifiers must not verify evidence which they have assessed.
- 5.10 Training providers must ensure that internal verifiers, and those working towards internal verifier qualifications, do not verify evidence of relatives, friends or others with whom they have a close relationship.
- 5.11 Training providers must ensure that internal verifiers understand and remain competent to perform their role by providing appropriate training and CPD opportunities.
- 5.12 Training providers must keep copies of the occupational competence/certificates of internal verifiers, along with records of all training and CPD undertaken. These records must be made available to AAT when requested.
- 5.13 Training providers must have performance management systems in place to monitor and evaluate the effectiveness of individuals involved in the internal verification process.

6. Computer based assessments

- 6.1 Training providers must adhere to AAT regulations regarding the delivery of computer based assessments. These regulations are available at aat.org.uk/cba.
- 6.2 Training providers must ensure that they comply with the minimum requirements for the hardware and software used in the delivery and recording of AAT assessments, and ensure that all assessments are maintained securely.

7. Invigilation

- 7.1 Each training provider and assessment venue must have a Computer Based Assessment (CBA) administrator and an invigilator.
- 7.2 Training providers and assessment venues must ensure that all assessments are invigilated and conducted in accordance with AAT policies and procedures.
- 7.3 To avoid any possible conflict of interest, the CBA administrator and invigilator must not be an active AAT student or a relative of any student taking the assessment. Tutors may not act as invigilators if they have been involved in preparing students for any of the units that are being assessed. For synoptic assessments this includes any unit at the level being assessed.
- 7.4 AAT requirements and regulations for the conduct of assessments are detailed in the *Instructions for conducting AAT Computer Based Assessments* guidance document available on the AAT website at aat.org.uk/cba.

8. Distance learning providers

- 8.1 Training providers must seek approval to offer AAT qualifications via distance learning.
- 8.2 Training providers offering study by distance learning must have the necessary resources to deliver AAT qualifications, namely:
- assessors and internal verifiers (if applicable)
 - IT resources
 - invigilation services for all assessments that form part of the qualification.
- 8.3 Training providers offering distance learning must provide appropriate support and guidance to their students.
- 8.4 Training providers offering study by distance learning have a responsibility to ensure their students have access to a venue at which to sit their assessments.

9. Data requirements

- 9.1 Training providers must have reliable and auditable systems and keep adequate records in order to track student progress for initial assessment and, if applicable, assessment, internal verification and claims for certification. Records must include:
- 9.1.1 a list of students registered for each qualification, including:
- student name
 - date of birth
 - contact address
 - workplace address and contact details
 - date of registration with AAT
 - details of Unique Learner Numbers or Scottish Candidate Numbers
 - details of unit certification
 - details of full certification
 - dates when students left their programme of study
 - details of students who have transferred from another training provider

- 9.1.2 if applicable, student assessment records detailing:
- name of assessor who assessed each unit and the date of assessment
 - name of counter-signatory in the case of unqualified assessors
 - the assessment decision
 - the assessment method used for each unit
- 9.1.3 if applicable, details of internal verification activity, including:
- by whom each unit was verified and the date of verification
 - name of counter-signatory in case of unqualified internal verifiers
 - details of the sample selected and the rationale for the choice
 - standardisation meetings
 - support meetings
 - records of certificates claimed
- 9.1.4 if applicable, details of employer engagement activity, including:
- a comprehensive employer engagement plan
 - a detailed candidate engagement activities record for each student, with supporting evidence relating to, for example:
 - structured work experience
 - work placements
 - work on projects, exercises or assessments set or supervised by those working in the industry
 - qualification content delivered via master classes or guest lectures.
- 9.2 Training providers must keep these records for a minimum of two years and must make them available to AAT and the qualifications regulators upon request.
- 9.3 Where training providers do not comply with the requirements for maintaining auditable records, AAT may apply the appropriate sanction and inform the relevant qualifications regulator.
- 9.4 Training providers must give immediate notice in writing to AAT when:
- 9.4.1 the name of the training provider is changed
- 9.4.2 the training provider operates from a different address
- 9.4.3 the training provider has had its funding agreement terminated
- 9.4.4 any other changes are made relating to the original approval documentation sent to AAT
- 9.4.5 another awarding organisation withdraws training provider approval
- 9.4.6 the UK Borders Agency suspends a Tier 4 sponsor license
- 9.4.7 the Head of Training Provider or main contact within the training provider changes
- 9.4.8 the training provider intends to withdraw from delivering AAT qualifications
- 9.4.9 the training provider is/is likely to be entering into receivership/administration.
- 9.5 If a training provider does not comply with the requirements to update training provider approval/recognition information, AAT may apply the appropriate sanction and, if appropriate, inform the relevant qualifications regulator.

10. Conflict of interest

- 10.1 Training providers must identify, log and report all actual or potential conflicts of interest to aatquality.assurance@aat.org.uk.
- 10.2 Examples of conflicts of interest may include but are not limited to:
 - 10.2.1 an employee at the training provider is related to a student registered for an AAT qualification
 - 10.2.2 an employee or contractor is related to a person who is a Director, Council Member, employee or contractor of AAT.

11. Malpractice and maladministration

- 11.1 Training providers must have a published malpractice and maladministration policy, which is available to all staff and students, and which meets AAT requirements.
- 11.2 Where the integrity of an assessment result is called into question, the result may be declared null and void to protect the integrity of the qualification.
- 11.3 Cases of proven malpractice against individual student members may result in withdrawal of their student membership, which will bar their continued studies.

Duty to report malpractice, suspected malpractice and maladministration

- 11.4 Training providers must immediately report all cases of suspected student or training provider malpractice or maladministration (i.e. any conduct or practice that could jeopardise the validity and integrity of the assessment process) to AAT, by telephone and email. A written report of any suspected malpractice or maladministration must be submitted by the Head of the Training Provider within two working days, to aatquality.assurance@aat.org.uk.
- 11.5 AAT will review and investigate each case of alleged malpractice or maladministration to establish the facts and circumstances relating to it. Training providers must co-operate fully in any investigation by allowing access to premises, records, information, students and members or staff.
- 11.6 AAT will inform the training provider and/or students of the outcome of the investigation and of any penalty to be imposed. AAT will ensure that any penalties imposed are proportionate to the severity of the incident.
- 11.7 Details of AAT policies and procedures relating to Malpractice, Maladministration and Whistle Blowing may be found at aat.org.uk/quality-assurance/resources.

12. Equalities policy

- 12.1 Training providers must have a published equal opportunities policy, which is made available to all staff and students and which meets AAT requirements.

13. Reasonable adjustments and special considerations (RASC)

- 13.1 Training providers must give due consideration and, where appropriate, make arrangements for students that require reasonable adjustments or special consideration relating to an assessment.

13.2 When making such arrangements, training providers must adhere to the policy and procedures specified in *AAT Guidance on the application of reasonable adjustments and special considerations in AAT assessments*, located at aat.org.uk/reasonableadjustments.

13.3 Training providers must keep records of all reasonable adjustments granted. These must be made available to AAT or, if applicable, to the qualifications regulators if requested.

14. Enquiries and appeals against internal assessment decisions

14.1 All training providers must have published policies and procedures for handling appeals against internal assessment decisions, which must meet AAT requirements.

14.2 Policies must include timescales and recourse to the regulatory body, where appropriate.

14.3 Students may refer an issue to AAT by emailing projectappeals@aat.org.uk but must first have exhausted the training provider's internal appeals procedure.

15. Enquiries and appeals against externally assessed units

15.1 Training providers must ensure that students are aware of their right to enquire about the results of an external assessment. Students can enquire about their results by emailing appeals@aat.org.uk.

16. Complaints procedure

16.1 Training providers must have a published complaints procedure. This should advise a student that if he/she is not satisfied with the service offered by the training provider, they have the right to complain. Their complaint may be reviewed by AAT once they have exhausted the training provider's internal complaints procedure.

16.2 Complaints procedures must include timescales and reference to students' right to complain to the appropriate regulator (where applicable).

16.3 Complaints may be reported to AAT anonymously; however AAT cannot investigate any complaint if it has insufficient details to identify the training provider.

17. Self-assessment reporting

17.1 Training providers are required to produce an annual self- assessment report for AAT, covering the following areas:

- review of previous action plan
- organisational management
- resources
- student support
- assessment related quality assurance
- management information
- IT security
- action plan.

17.2 The areas highlighted in 17.1 should be considered within the context of any changes that have taken place over the previous 12 months.

17.3 The report should be an electronic document, accompanied by necessary documentation.

18. Non-compliance

18.1 Failure to comply with the *Code of Practice for Training Providers* or *Training Provider Agreement* may lead to a sanction being applied and an action plan with deadlines.

18.2 Levels of sanction are as follows:

- Level 1 – imposes an action plan that must be achieved within an agreed timeframe
- Level 2 – suspends student certification
- Level 3 – suspends student registration and certification
- Level 4 – leads to the withdrawal of training provider approval.

18.3 If a training provider is placed on sanction, AAT will increase the level of monitoring activity to ensure that issues are addressed and compliance against AAT requirements is restored. Any additional external verifier visits or external assessment activities resulting from a sanction being imposed will be charged to the training provider.

18.4 When AAT is confident that a training provider is performing to the required standard, the sanction will be reduced or removed.

18.5 The criteria that AAT will use when applying sanctions at levels 1, 2 and 3 are shown in the Table of Sanctions at Appendix 3.

19. Level 4 sanction: withdrawal of training provider approval

19.1 Where the training provider has failed to take corrective actions relating to level 3 sanctions, or there has been an irretrievable breakdown in the management and quality assurance of the delivery of specified AAT qualifications, AAT will issue a level 4 sanction, which is the withdrawal of training provider approval.

19.2 In such instances the training provider:

19.2.1 will be given a reasonable period of notice, usually three months, to terminate its delivery of AAT qualifications

19.2.2 may appeal against the decision to withdraw approval by following the procedures outlined in the *Guidance for training providers*

19.2.3 is expected to provide assistance to its student members in enabling a transfer to another training provider or completion of the appropriate qualification

19.2.5 must return any properties belonging to AAT

19.2.6 must cease using the AAT logo

19.2.7 must pay any money owed to AAT prior to withdrawal.

- 19.3 Training providers may lodge an appeal against the withdrawal of approval within ten working days of receipt of notification. Details of this process are available [here](#).
- 19.4 Where a training provider instigates an appeal in relation to withdrawal of approval, AAT will request that they meet some of the appeal costs, such as additional visits to the training provider or the cost of convening AAT's Education and Training Monitoring Panel, which will need to meet to consider the appeal.
- 19.5 Where training provider approval is withdrawn, the relevant qualifications regulators and other awarding organisations will be notified (as appropriate).

20. Training provider withdrawal of qualifications

- 20.1 Training providers intending to withdraw from offering AAT qualifications or wishing to withdraw a specific qualification must inform AAT at least three months in advance of doing so.
- 20.2 The request to withdraw will need to be made in writing to AAT from either the main contact at the training provider, or the Head of Training Provider, and include the following details:
- reasons for withdrawal
 - when the training provider will cease to offer AAT qualifications
 - the number of active students
 - a contingency plan for remaining students
 - how students have been notified of withdrawal.

Appendix 1: Assessor qualification requirements

For the AAT Accounting qualifications assessors must:

- hold an Accounting qualification equivalent to, or higher than, the AAT Professional Diploma in Accounting / AAT Level 4 Diploma in Accounting. Alternatively, assessors must hold a Consultative Committee of Accountancy Bodies (CCAB) qualification – CIPFA, ICAEW, CIMA, ICAS, CAI or ACCA
- hold or be working towards the A1 Assessor Award or the Level 3 Award in Assessing Vocational Related Achievement – in Scottish training providers, Learning and Development unit 9DI is also applicable

For the AAT Business Skills qualification assessors must:

- hold or be working towards one of the following:
 - D32 and D33 Assessor Award
 - A1 and A2 Assessor Award
 - Level 3 Award in Assessing Competence in the Work Environment (Units 1 & 2)
 - Level 3 Award in Assessing Vocationally Related Achievement (Units 1 & 3)*
 - Level 3 Certificate in Assessing Vocational Achievement (Units 1, 2 & 3).
- * Training providers must ensure Assessors who hold the Level 3 Award in Assessing Vocationally Related Achievement and wish to assess workplace evidence, achieve Unit 2 within 12 months of being approved to assess the Business Skills qualification.
- hold:
 - a relevant professional qualification
 - a degree with substantial business, business administration skills or management content
 - a relevant business, management or coaching qualification at Level 4 or above.

Appendix 2: Internal verifier qualification requirements

For the AAT Accounting qualifications internal verifiers must:

- hold an Accounting qualification equivalent to, or higher than, the AAT Professional Diploma in Accounting / AAT Level 4 Diploma in Accounting. Alternatively, internal verifiers must hold Consultative Committee of Accountancy Bodies qualification - CIPFA, ICAEW, CIMA, ICAS, CAI or ACCA
- hold or be working towards the V1 qualification or the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice. In Scottish training providers, Learning and Development unit 11 is also acceptable.

For the AAT Business Skills qualification internal verifiers must:

- hold:
 - a relevant professional qualification. or
 - a degree with substantial business, business administration skills or management content, or
 - a relevant business, management or coaching qualification at Level 4 or above
- hold or be working towards the V1 qualification or the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice (QCF) – in Scottish training providers, Learning and Development unit 11 is also acceptable.

Appendix 3: Table of Sanctions

Level 1 – Action plan imposed

Criterion	Description of non-compliance
1a	Training provider's aims, policies and assessment practices, and responsibilities of personnel are unclear or are not well understood by the assessment team
1b	No appropriate training opportunities provided for assessors or internal verifiers
1c	No evidence of performance management systems to monitor and evaluate the effectiveness of those involved with the assessment (for example – lack of clear aims, objectives, priorities and targets set for the assessment team)
1d	No evidence of adequate assessor or internal verifier development plans
1e	No records of staff development and CPD activities
1f	Internal verifier procedures are not clearly documented
1g	Students are not aware of their rights and responsibilities, for example, no student complaints or appeals procedure
1h	There is inadequate initial assessment and or induction for students
1i	Queries raised by students are not resolved
1j	There is inadequate monitoring or review of procedures
1k	No arrangements are in place to obtain ULN (Unique Learner Number) or SCN (Scottish Candidate Number)
1l	No documentation, where partnership agreements are in place
1m	No arrangements in place to access students' previous achievement
1n	AAT's Recognition of Prior Learning (RPL) policy has not been followed correctly
1o	Communication within the assessment and internal verification team and with AAT is ineffective
1p	Training provider fails to adhere to the reasonable adjustment policy
1q	Training provider uses the AAT logo inappropriately on in house materials and website. Inappropriate use of the AAT brand

Level 2 – Suspension of student certification

Criteria	Description of non-compliance
2a	Assessors not competent to perform role (refer to <i>Code of Practice</i> for guidance on qualifications, experience and CPD requirements)
2b	Insufficient qualified assessors
2c	Identification of conflict(s) of interest
2d	Training provider does not offer adequate assessment opportunities
2e	Assessors have insufficient time, resources or authority to perform their role
2f	Decisions of unqualified assessors have not been counter-signed by qualified assessor
2g	Assessors and students have not provided a written declaration that their evidence is authentic and the assessment took place under the conditions or context set out in the assessment criteria
2h	Assessment decisions are not consistent
2i	Staff do not understand assessment recording requirements
2j	No single named point of accountability
2k	Changes to personnel in the assessment and/or internal verification team are not communicated to AAT
2l	Failure to inform AAT when qualification or training provider approval has been withdrawn by another awarding organisation
2m	No formalised internal quality assurance procedures
2n	Insufficient qualified internal verifiers
2o	Decisions of unqualified internal verifiers have not been countersigned by a qualified internal verifier
2p	The training provider has not demonstrated sufficient employer engagement in line with the qualification specification
2q	Unqualified internal verifier reports results
2r	Internal verifier verifies evidence which they have assessed
2s	No notification to AAT of claims made in error
2t	No administrative system to track student details and progress
2u	A planned visit by AAT staff or consultants is cancelled at short notice by the training provider and there was no legitimate reason to do so
2v	Where the training provider has been subject to adverse media coverage AAT reserves the right to apply a level 2 sanction to protect the integrity of the brand
2w	The training provider fails to adhere to the RPL and Exemptions policy, specifically around the limit of allowing students only 50% through this method of assessment and/or achieving at least <u>one</u> unit using the assessment method required by that unit

2x	The training provider fails to adhere to the re-taking assessments rule, specifically around ensuring that a student attempts all alternative scenarios. If a student has exhausted all scenarios, then the original scenario can be attempted providing at least 8 weeks have elapsed since the scenario was originally attempted
2y	The training provider has voided an assessment(s) on the assessment platform, in an attempt to circumvent the resit restrictions
2z	Previously agreed corrective actions relating to level 1 non-compliance are not implemented within the agreed timescales
2aa	Assessment decisions for CBPs are not made within two working weeks of the assessment taking place
2ab	Internal verification has not taken place within two working weeks of the assessment decision

Level 3 – Suspension of student registration and certification

Criteria	Description of non-compliance
3a	No established and maintained quality assurance system
3b	Records are not retained for two years
3c	Failure to report malpractice and/or cooperate with any investigation.
3d	Insufficient qualified assessment and internal quality assurance staff, resources or systems necessary to support the assessment of AAT qualifications
3e	Training provider disadvantages student members through its actions
3f	AAT's quality assurance requirements are not being met
3g	Assessed and verified evidence is not the authentic work of the student
3h	Records show serious anomalies
3i	Certification claims made before all the requirements of assessment and internal verification are satisfied
3j	The training provider fails to provide access to premises, requested records, information, students and members or staff
3k	Previously agreed corrective actions relating to level 2 non-compliance are not implemented within the agreed timescales.