

ITEC Sanctions Policy



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SANCTIONS POLICY

INTRODUCTION

This Policy is aimed at Centres delivering ITEC approved qualifications or units and who have failed to meet aspects of our delivery requirements and/or the standards laid down by the Regulatory Authorities in respect of regulated qualifications and units. It sets out the sanctions ITEC may impose on Centres in such situations.

It is also for use by our staff to ensure they apply any sanctions in a consistent manner.

CENTRE'S RESPONSIBILITY

It is important that all staff involved in the delivery of our qualifications are fully aware of the contents of the policy and its possible implications on your Centre should you fail to comply with requirements specified by ITEC in relation to the delivery of our qualifications (some of which are required of us by the Regulators.)

REVIEW ARRANGEMENTS

We will review the policy annually as part of our self-evaluation arrangements and revise it as and when necessary in response to customer feedback, trends from our internal monitoring arrangements, changes in our practices, actions from the Regulatory Authorities or external agencies or changes in legislation.

If you would like to feedback any views please contact us via the details provided at the end of this policy.

ENSURING THE STANDARDS OF OUR QUALIFICATIONS AND UNITS

ITEC has a responsibility to the Learners taking our qualifications and the Regulatory Authorities to ensure that Centres deliver our qualifications and units in accordance with relevant National Standards.

APPROACH TO SANCTIONS

ITEC has a range of sanctions that can be imposed on a Centre 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 and/or affects the public confidence in ITEC qualifications.

Nonetheless, ITEC aims to ensure that the application of sanctions is a last resort and through our approach to Centre support and management and the creation of appropriate action plans, we will work with Centres to prevent situations arising that would warrant a sanction being imposed.

However, if sanctions are required then they will be applied depending on the nature of the situation. For example if the Centre has:

- Outstanding actions
- Poor records to confirm assessment decisions
- No lead Quality Officer/Internal Verifier in place
- Proven collusion or persistent poor marking of Centre marked assessments



- Suspected or proven cases of Maladministration/Malpractice which are being investigated
- Made certification claims before Learners have completed the unit/s/qualification/s
- An increased likelihood of an adverse effect occurring (e.g. something that is likely to have an adverse effect on the standards of the qualifications they are delivering or public confidence in qualifications)
- Refused access to premises and/or records to the staff of ITEC or the Regulatory Authorities
- Lack of resources for delivery of training (e.g. equipment and/or appropriately qualified staff)

It is important to note that the following are not classified as sanctions, but standard good awarding organisation or business practice:

- When a Centre is first recognised and approved by us to offer one of our qualifications, and/or if they have subsequently applied and been approved to offer another qualification in a sector or qualification type that is significantly different from previous qualifications they offer, we will approve the Centre to offer the qualification/s and not process any certificate claims for NVQ qualification/s until the Centre has received a satisfactory EV visit. This approach is normal practice amongst awarding organisations and is generally seen as good practice and is intended to help ensure the Centre is delivering this 'new' qualification effectively before certificates can be issued
- When a Centre is first recognised and approved by us to offer one of our VRQ qualifications, they will remain listed as probationary until the Centre has achieved a successful first set of examinations
- Should a Centre refuse to pay outstanding fees after various contacts with our Finance team, then we may remove approval and/or Centre recognition with immediate effect. Such a decision would not be considered a sanction but a commercial decision
- Undertaking additional visits to a Centre to provide them with a greater level of support and/or monitoring depending on their needs and performance
- Requiring specific Centre staff to undergo additional training and/or scrutiny by the Centre if there are concerns about their ability to undertake their role in the delivery of our qualifications effectively. Such decisions would normally be communicated to the Centre via an 'action' following a Centre engagement visit. It is important to note that we reserve the right to impose a number of restrictions against individuals at any time. Ordinarily restrictions would be imposed against individuals either during or prior to conducting an investigation into Maladministration or Malpractice connected to a Centre with whom the individual/s are connected. Restrictions against individuals may include not permitting specific staff to be involved in the delivery/assessment of our qualifications
- Altering the way and the period in which Centres receive examination/assessment materials from ITEC, if there are concerns around their ability to maintain the security and confidentiality of such materials
- Appointing our staff to observe an exam/assessment at the Centre if there are concerns around the Centre's arrangements and/or the Centre is unable to resource particular exams/assessments. Such actions will be discussed with the Centre during or after a Centre engagement visit.



SANCTIONS THAT MAY BE IMPOSED

The sanction of withholding certificates (e.g., suspending certification status) can be imposed by an EV/Examiner in relation to:

- A single qualification
- An entire qualification sector
- An entire qualification type
- All qualifications

The implementation of any sanction by an EV/Examiner will be reviewed by the Quality Manager (QM), who is responsible for overseeing the work of the EVs/Examiners and for ensuring the appropriateness and consistency of their work, to ensure there is clear evidence of non-compliance by the Centre and/or a sufficient rationale for the sanction to be imposed.

The sanction in relation to preventing further Learner registrations by the Centre (e.g., suspending registration status) can be recommended by an EV/Examiner or other member of ITEC and imposed by the QM in relation to:

- A single qualification
- An entire qualification sector
- An entire qualification type
- All qualifications

These recommendations will be reviewed by the QM and presented to the ITEC Quality Assurance Team, who are responsible for overseeing the work of the EVs/Examiners and for ensuring the appropriateness and consistency of their work, and if there is clear evidence of non-compliance by the Centre and/or a sufficient rationale then the sanction will be imposed on the Centre.

If a Centre disagrees with the decision, the first point of call is the relevant QM and then ITEC's appeals arrangements.

Only in exceptional circumstances of extremely serious non-compliance or the persistent failure of the Centre to address outstanding actions, and/or the failure of previous sanctions to address the issue, would ITEC impose, via the ITEC Quality Assurance Panel the ultimate sanction of removal of qualification approval in relation to:

- A single qualification
- An entire qualification sector
- An entire qualification type
- All qualifications and in turn the Centre's 'recognition' with ITEC

ITEC expects that it would never impose the immediate withdrawal of approval for a qualification or range of qualifications without:

- The Centre being given an opportunity to address the area/s of non-compliance
- First of all imposing one of the previous sets of sanctions



- There being evidence that the non-compliance poses a significant threat to the interest of Learners or the integrity of the qualifications and units

Should a Centre have its approval for a qualification/suite of qualifications removed, we will take all reasonable steps to protect the interests of any Learners currently registered on the qualification/s in accordance with our "Process for Managing the Withdrawal of a Qualification at a Centre". For example, we will either certificate them for any achievements achieved to date and/or seek to transfer them – where possible and feasible – to another Centre to enable them to carry on with their learning.

CONTACT US

If you have any queries about the contents of the policy, please contact ITEC Customer Service on +44 (0) 208 994 4141 or email customerservices@itecworld.co.uk

