

# SANCTIONS POLICY

## Introduction

This policy is also aimed at employers, training providers and apprentices involved in End-point assessment (EPA).

If there has been a failure to comply with Excel Me policies or procedures or breached the term of any agreement with Excel Me, this policy sets out the sanctions Excel Me may impose in such situations.

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

## Purpose

Excel Me endeavour to only impose a sanction on an employer or training provider as a matter of last resort, where we have no alternative to ensure we protect the integrity of our assessment(s). Sanctions can be imposed if we have cause to believe there has been actual malpractice or continual maladministration.

## Training Providers and Employers Responsibility

It is important that all Training providers, Employers, assessors, and IQA's involved in the delivery and assessment of Excel regulated End Point Assessments are fully aware of the contents of this policy and its possible implications should you fail to comply with the requirements.

## Ensuring the Standards of our Qualifications and Units

Excel Me has a responsibility to apprentices completing an Excel Me End Point Assessment and the UK regulatory authorities to ensure that relevant personnel, including employers, training providers, assessors, and IQAs involved in the delivery and assessment of End Point Assessments, deliver and assess in accordance with the relevant Apprenticeship assessment plans.

## Approach to Sanctions

Excel Me has a range of sanctions that can be imposed on an Employer, Training Provider, assessors, and IQAs involved in the delivery and assessment of Excel Me End Point Assessments.

We reserve the right to apply conditions and sanctions on an Employer, Provider, assessors, and IQAs which we have determined as having an issue of non-compliance to ensure certification of Apprentices is accurate and reliable and that the standards are maintained.

If sanctions are required then we will not hesitate to apply them, with the sanction(s) being applied depending on our determination of the nature and severity of the non-compliance. Below is a list of example situations where we, having determined that there is an issue of non-compliance, may decide that it is appropriate to impose a sanction. These are only indicative and are not meant to form an exhaustive list:

- Outstanding / overdue actions
- Poor records to confirm assessment decisions
- Plagiarism
- Cheating by Apprentices in an assessment
- Attempting intentionally to manipulate a result so it does not reflect the apprentices' actual performance in an assessment
- Suspected or proven cases of maladministration / malpractice
- An increased likelihood of an adverse effect occurring
- Breached any requirement contained in the agreement.

## Sanctions that may be Imposed on Approved Training Centres (ATC)

Any cases of concern or non-compliance will be escalated and reviewed by Excel Me. If there is sufficient evidence of non-compliance the appropriate level of sanction will be imposed. In all instances the nature of the sanction and the rationale for its application will be communicated in writing or email. Appeals may be made following receipt of the sanction.

## Sanctions that may be Imposed on Learners'

Should an Apprentice be found to have committed malpractice then the following sanctions may be imposed on them in accordance with the arrangements outlined in our malpractice and maladministration policy:

- Issuing a written warning that if the offence is repeated further action may be taken
- Disqualification from the End Point assessment component, leading to non-certification
- Placing a ban from taking any further End Point Assessment with Excel Me.

## Sanctions that may be Imposed on, Training providers, Employers, Assessors, and IQA's

Should a training provider, employer, assessor, or IQA be found to have committed malpractice then sanctions may be imposed on them in accordance with the arrangements outlined in our malpractice and maladministration policy. This may result in revoking approval of the training provider, assessor and IQA if there are concerns around their performance.

## Appealing a Decision

If personnel wish to appeal a decision to impose a sanction, then please refer to the Excel Me enquiries and appeals policy, which can be found on our website.

## Ensuring Consistency in our Approach

The length of time any of the above sanctions will be imposed for will depend on our assessment of the situation that warranted their introduction.

Excel Me will be responsible for regularly reviewing the application and maintenance of sanctions to ensure they continue to be appropriate and proportionate to the incident(s) and risk of future incidents occurring.

## Monitoring and Review

We will review the policy annually as part of our quality assurance requirements and will 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 below.

## Excel Me Contact Details

Excel Me, Anchor House, Birch Street, Walsall, West Midlands, WS2 8HZ

**Tel:** 01922 645097

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