

# **CILEx Accredited Training Provider Handbook**

## Welcome

Welcome to The Chartered Institute of Legal Executives' (CILEx) Accredited Training Provider Handbook.

This handbook is for training providers that deliver or are seeking to deliver CILEx programmes and/or qualifications.

To gain a full understanding of these CILEx qualifications and CILEx requirements, this handbook should be read in conjunction with the relevant documents relating to and governing CILEx qualifications, all of which are available from the CILEx website. It is strongly recommended that programme managers, course coordinators, tutors, assessors and IQAs, as appropriate regularly refer to the CILEx website ([www.cilex.org.uk](http://www.cilex.org.uk)) because it is frequently updated with key information relevant to CILEx accredited training providers.

Please contact the CILEx accreditation team if you require assistance regarding the CILEx training provider accreditation process. CILEx contact details are set out on page 24.

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# Section 1: The Chartered Institute of Legal Executives

## 1.1 Introduction

The Chartered Institute of Legal Executives (CILEx) is the Professional Body which represents Chartered Legal Executives and plays a unique and important role within the legal sector. CILEx works closely with Government and is an Approved Regulator under the Legal Services Act 2007.

CILEx develops, quality assures, and awards a range of qualifications in the legal sector. This includes professional qualifications at Levels 3 and 6 that support qualification as a Chartered Legal Executive, legal services qualifications and other qualifications such as those aimed specifically at paralegals or younger learners. CILEx works closely with employers when developing new qualifications and training for the legal sector.

CILEx accredited training providers play an important role in helping CILEx learners achieve their developmental and career aims through the delivery of CILEx qualifications and assessments. All CILEx accredited training providers are required to maintain compliance with the CILEx Training Provider Accreditation Standards and abide by the terms of the Accredited Training Provider Agreement.

## 1.2 Benefits of becoming a CILEx Accredited Training Provider

- Public recognition you've met a quality standard;
- Ability to deliver CILEx qualifications and broaden your offer to learners;
- Membership of an elite group of high-quality learning providers;
- Exclusive logo and marketing materials;
- Access to a dedicated CILEx support team;
- Partnership working with CILEx to make the most of learning and development opportunities for the legal profession;
- Actively promoted by CILEx as a provider of choice.

## 1.3 CILEx role as an Awarding Organisation

CILEx is recognised by Ofqual, Qualifications Wales and CCEA. As an Awarding Organisation, CILEx must demonstrate compliance with the regulatory criteria in the General Conditions of Recognition published by Ofqual and CCEA and the Standard Conditions of Recognition published by Qualifications Wales. In this regard, CILEx is required to have in place a written and enforceable agreement with each of its accredited training providers. It is essential that CILEx accredited training providers understand their responsibilities and take all reasonable steps to ensure that CILEx is able to comply with the Conditions of Recognition. The General/Standard Conditions of Recognition are available on the regulators' websites.

## 1.4 CILEx qualifications

Each CILEx qualification has been given a qualification type. This is important for the purposes of training provider accreditation as the policies, procedures and requirements underpinning the different types of qualification vary.

Full details of the qualifications are available on the CILEx website ([www.cilex.org.uk](http://www.cilex.org.uk)). It is important that prospective training providers are familiar with the current versions of qualifications' documents to ensure that they can demonstrate the training provider's capacity and capability to fully comply with CILEx requirements.

## 1.5 CILEx decision-making policy

The power to accredit flows from CILEx Charter which sets out its objects as being broadly to promote and maintain proper standards of ethical conduct, efficiency and training amongst legal executives and to enhance and maintain public confidence in the profession. CILEx objectives also include providing for high quality education and training.

CILEx seeks to accredit quality providers keen to work with CILEx in the promotion of its unique offer to learners in the legal sector. CILEx operates an evidence-based accreditation process, with three core aims:

1. to ensure all learners are provided with a high-quality learning experience, irrespective of the training provider they choose to attend;
2. to ensure training providers have the capacity and capability including the requisite resources, systems and processes in place to effectively deliver CILEx qualifications and assessments;
3. to ensure training providers operate in a way that ensures CILEx maintains its compliance with the General/Standard Conditions of Recognition.

All training providers seeking accreditation must meet a comprehensive set of outcome-based standards and provide detailed evidence to demonstrate how each of these standards has been met. The CILEx accreditation decision will be based upon this evidence, evaluated through a desk-based assessment and a training provider visit. Accreditation to deliver CILEx qualifications will only be granted where a training provider has evidenced that it meets **all** the Training Provider Accreditation Standards.

CILEx recognises that applying for CILEx accreditation takes time and commitment and therefore is keen for training providers to submit their application to become an accredited training provider once they are confident they can provide evidence to demonstrate they meet each of the CILEx Training Provider Accreditation Standards.

CILEx reserves the right to decline an application for training provider accreditation at any stage of the accreditation process.

## Section 2: CILEx Accreditation

### 2.1 Accreditation process

The purpose of the CILEx training provider accreditation process is to determine whether prospective training providers have the capacity and capability to meet the CILEx Training Provider Accreditation Standards, so that learners are assured that CILEx qualifications and assessments are delivered to the highest standards. Before a training provider can start to offer any CILEx qualifications it must be formally accredited by CILEx.

All learners registering for a CILEx qualification and/or registering for entry to any CILEx examination/assessment or submitting unit claims must have undertaken a programme of learning for the qualification for which they want to register and/or unit(s) they wish to take/claim at a CILEx accredited training provider. Learners enrolled on programmes at training providers that have not been accredited by CILEx will not be permitted to register for the qualification, take a CILEx examination/assessment or submit a unit claim. Learners' examination/assessment results will not be released to a training provider which has not been accredited or is no longer accredited.

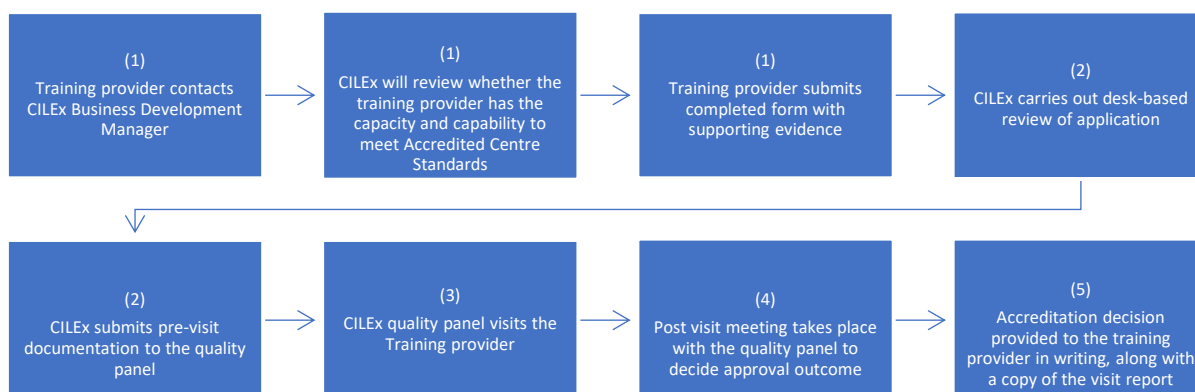
#### **Knowledge Qualifications**

Training providers that meet the CILEx Accredited Training Provider Core Standards and are seeking to deliver CILEx Professional qualifications and/or Legal Services Knowledge qualifications must be able to demonstrate compliance with the CILEx Accredited Training Provider Programme standards in relation to these qualifications.

#### **Competence Qualifications**

Training providers that meet the CILEx Accredited Training Provider Core Standards and are seeking to deliver CILEx competence qualifications must be able to demonstrate compliance with the CILEx Accredited Training Provider Programme Standards in relation to these qualifications.

**Figure 1: Procedure for training provider accreditation**



### STAGE 1

- Contact CILEx Business Development Manager to discuss your training provider's intention to become accredited.
- Review whether your training provider has the capacity and capability to meet the CILEx Accredited Training Provider Standards and can provide the required evidence.
- Training provider identifies and collates all the evidence required to support the training provider's application.
- Complete the CILEx Accredited Training Provider Application Form.
- Submit the completed forms, supporting evidence and initial application fee\* to the CILEx Accreditation Officer. If your preference is for the fee to be invoiced, it must be paid before your training provider's application is processed.

*\*accreditation fees are not refundable in any circumstances*

### STAGE 2

CILEx carries out a desk-based review of the application and supporting evidence. Feedback will be provided throughout this stage of the process, and you will be expected to address any issues and/or concerns raised by CILEx. When the CILEx internal team are satisfied with the evidence provided, they will make arrangements for Stage 3.

\*The number of application submissions accepted by CILEx will be capped at three. The third desk-based review will be the final review completed by CILEx, and if the results of this review do not allow the progression of the application to stage 3 (detailed below), the application shall become null and void. Notification to this effect will be issued to the Training Provider/applicant.

If the applicant wishes to apply for CILEx Accreditation again, they would be required to submit a new application form, supporting evidence and pay the initial application fee again (stage 1).

### STAGE 3

A CILEx Quality Panel visits the Training Provider. During the visit panellists meet staff and learners, observe premises and learning sessions (where possible) and assess how the training provider meets the accreditation standards. Depending on the size of the training provider and/or the complexity of the application, the visit may take one or two days.

NB: Please be aware that no feedback of any kind will be provided during the visit.

#### STAGE 4

The Quality Panel meets following the training provider visit to determine whether the training provider has demonstrated it meets all the accreditation standards. The panel's decision is based on the evidence gathered during the visit and provided for the desk-based review. An accreditation report will be written outlining the panel's findings, their decision and reasons, any conditions and/or recommendations and timescales for implementation.

#### STAGE 5

The accreditation decision will be provided to the training provider in writing, along with a copy of the accreditation report, within 21 days.

## 2.2 Accreditation decision

The accreditation decision will be one of the following:

1. Accreditation granted with no conditions or recommendations
2. Accreditation granted subject to conditions and/or recommendations
3. Accreditation refused

### 1. Accreditation granted with no conditions or recommendations

The training provider will be sent a formal accreditation agreement, which will list the qualifications the training provider is approved to deliver. On receipt of a signed copy from the training provider, CILEx will send an accreditation certificate and copies of the CILEx accredited training provider logo with brand guidelines. The training provider may begin marketing itself as a CILEx accredited training provider.

There is no end date to the accreditation agreement, and the training provider will remain accredited by CILEx subject to remaining compliant with the accreditation standards and completing the annual declaration. CILEx will take a risk-based approach to ongoing monitoring and will inform the training provider of any information it is required to provide.

### 2. Accreditation granted subject to conditions and/or recommendations

The training provider report will set out the conditions and/or recommendations to which the accreditation is subject. Conditions, which are mandatory, will include a timescale for completion. CILEx will monitor both conditions and recommendations and will provide support to the training provider, if required, to enable it to meet them.

The training provider will be sent a formal accreditation agreement, which will list the qualifications the Training Provider is approved to deliver. On receipt of a signed copy from the training provider, CILEx will send an accreditation certificate and copies of the CILEx accredited training provider logo with brand guidelines. The training provider may begin marketing itself as a CILEx accredited training provider.



There is no end date to the accreditation agreement, and the training provider will remain accredited by CILEx subject to remaining compliant with the accreditation standards and completing the annual declaration. CILEx will take a risk-based approach to ongoing monitoring and will inform the training provider of any information it is required to provide. Annual monitoring will include progress against conditions and/or recommendations. Failure to adhere to conditions will lead to the suspension and possible permanent removal of accreditation.3. Accreditation refused

The training provider will be informed in writing that accreditation has not been granted, with the reasons for refusal.

If the training provider wishes to appeal against the Quality Accreditation Panel's decision, it may do so in writing, within 28 days. The appeal should be sent to the Chair of the Quality Panel and articulate clearly why the training provider believes the panel should reconsider its decision. The training provider's reasons for appeal **must** be supported by evidence. Any appeal submitted without supporting evidence will be rejected.

CILEx will notify the training provider of the outcome of the appeal in writing, within 28 days, and this decision will be final.

The training provider may apply for accreditation again after a period of at least 6 months has elapsed. The re-application submission must include a schedule of changes made since the last application and an evaluation of the effectiveness of these changes. This is in addition to any and all evidence submitted to demonstrate how the training provider believes it meets the accreditation standards. Please note that CILEx reserves the right not to accept re-applications.

## 2.3 Training Providers accepting learners from outside of the European Economic Area

All educational establishments accepting learners from outside the European Economic Area (EEA) are required to be registered by the Home Office as a licensed sponsor of migrants under the Tier 4 points-based system. (See <https://www.gov.uk/visas-immigration>)

If the training provider wishes to accept learners from outside the EEA, CILEx requires the training provider to provide the following:

- Home Office confirmation of the training provider's current Tier 4 Sponsor Licence

This requirement would not apply to learners from outside the European Economic Area who wanted to complete their studies via the distance learning route (they would not be required to obtain a student visa). However, if any part of the program required travel to the foreign country, a student or tourist visa may be required. Each country has its own restrictions and fees associated with student visas, and students should check with the foreign consulate and school before enrolling in an academic program.

## 2.4 Timelines

Training Providers should submit their application for CILEx Accreditation approximately 6 months prior to the expiry date of their CILEx accreditation agreement. Training providers can apply at any stage throughout the calendar year. Training providers should allow up to 28 business days for CILEx to review the training provider's application before arrangements can be made for the training provider visit by the CILEx Quality Panel. Please note CILEx is unable to commence the review of the training provider's application until payment of the accreditation fee is received.

Applications for CILEx Accreditation shall only remain valid for 6 months after the submission date. After this time the application will become null and void, and if a Training Provider wishes to re-apply, they would be expected to submit a new application form, supporting evidence and accreditation fee.

## 2.5 Accreditation fees and CILEx bank account details

<b>Fee type</b>	<b>Fee</b>
Initial application	£1000
Training provider visit (day 1: senior external panellist + officer)	£800
Training provider visit (day 1: additional external panellists)	£400 per person
Training provider visit (subsequent days)	£400 per person per day
Additional programme accreditation	£200 per programme
Annual Declaration and Monitoring visit	£400 per person per day
Intervention visit	£400 per person per day

CILEx bank account details: Bank: National Westminster Bank Address: 81 High Street (C Branch), 81 High Street, Bedford, Beds, MK40 1YN Account Name: The Chartered Institute of Legal Executives Account Number: 51998866 Sort Code: 60-12-45

## Section 3: Annual Declaration

### 3.1 Procedures for maintaining accreditation

To be assured that CILEx accredited training providers continue to comply with the CILEx Training Provider Accreditation Standards, CILEx requires its training providers to confirm this by way of an annual declaration signed by the CEO or Head of the Training Provider.

The annual declaration process, which is set out in Figure 2 below, enables the training provider to confirm what remains unchanged since accreditation/the previous year, provide updates on changes that have been made since accreditation/the previous year (with appropriate supporting evidence such as new policies) and amend any contact details that have changed since the last declaration.

By signing the annual declaration, the CEO/Head of the Training Provider is confirming that the training provider continues to meet the standards on which the accreditation was granted. Should it become apparent that this is not the case, CILEx reserves the right to suspend and/or withdraw accreditation.

#### **Figure 2: Annual declaration process**

##### STAGE 1

CILEx sends the training provider a copy of the annual declaration form, pre-populated with the previous year's information.

##### STAGE 2

The training provider checks all the information carefully and writes 'Yes' in the 'Evidence still Current' column for each standard that remains unchanged.

##### STAGE 3

Where an element has been updated (e.g. a new policy or procedure) the centre writes 'No' in the 'Evidence still Current' column, includes the names of the new document(s) in the 'New Evidence' column and attaches copies of the new document(s) to the annual declaration file.

##### STAGE 4

The training provider checks all the contact details and amends where necessary to ensure CILEx has up to date information.

##### STAGE 5

The training provider checks Annex 1, which lists any conditions and/or recommendations to which the accreditation is subject. The training provider should complete the table, explaining progress towards completion and including any comments it feels are necessary.

##### STAGE 6

The training provider checks Annex 2, which lists the programmes and/or qualifications it is offering during the current year and adds the ones it for which it intends to seek accreditation during the following year.

##### STAGE 7

The training provider states how many complaints it has received from learners over the past 12 months in relation to CILEx programmes and/or qualifications and provides brief details.

#### STAGE 8

The training provider provides details of any agreements with third parties and/or sub-contracting arrangements it has made over the past 12 months that relate to the delivery of any aspect of CILEx programmes/qualifications. This includes areas such as tuition, assessment and learning materials. Please note the Training Provider Agreement states that written approval must be obtained from CILEx before entering into such arrangements.

#### STAGE 9

The CEO/Head of the Training Provider checks the annual declaration and signs to confirm it is accurate.

#### STAGE 10

The annual declaration is returned to CILEx.

#### STAGE 11

The training provider receives a confirmation that the annual declaration has been received.

#### STAGE 12

When the annual declaration has been reviewed by CILEx, contact will be made with the Training Provider and arrangements will be made for an annual declaration and monitoring visit (please see page 10 for related fees).

#### STAGE 13

Once the annual declaration and monitoring visit has been conducted and the related fee has been paid by the training provider, confirmation of re-accreditation (for the forthcoming year) will be issued to the Training Provider.

## Section 4: Accredited training providers seeking to deliver new programmes and/or qualifications

Following CILEx approval of an accredited training provider application, the training provider will be accredited to deliver specified CILEx qualifications. Training providers seeking to deliver CILEx qualifications for which they are not currently accredited are required to follow the processes set out below. This section also addresses the requirements for training providers wishing to deliver CILEx qualifications from a satellite site not considered as part of the original application.

In the first instance, training providers should contact the CILEx Accreditation Officer, to discuss the process for adding satellite sites and/or delivering other CILEx qualifications.

CILEx has in place a risk-based management system to monitor accredited training providers. A new satellite site extending the range of CILEx qualifications the training provider is accredited to deliver will not be considered for approval by CILEx if there have been recent performance or compliance issues identified through CILEx audit and risk monitoring activities, or if there are concerns about the training provider's risk profile.

### 4.1 Applying to include new programmes and/or qualifications

Training providers currently accredited to deliver one type of qualification only (e.g. knowledge) will need to consider how they will build the capacity and capability to deliver a different type of qualification (e.g. competence).

For each new **type** of programme and/or qualification, the training provider will be required to complete a full application using the Training Provider Accreditation Programme Standards. Evidence will need to be submitted to demonstrate how the training provider meets the required standards. This will be assessed in the same way as the initial application, via a mix of desk-based and on-site evaluation.

Once an accredited training provider has been approved to deliver a particular type of qualification, it may wish to apply to deliver new subjects of the same qualification type. In this case, a shortened application may be submitted using the Training Provider Accreditation Programme Standards. Having already assessed the training provider's overall approach to delivering the type of programme/qualification, CILEx will focus solely on the following standards, which relate to the subject specific content of that programme/qualification:

9.1	Training and learning resources are sufficient to ensure effective delivery of the programme(s).
9.2	The organisation has suitably qualified, experienced and competent staff responsible for managing and delivering CILEx programme(s).
10.1	Programme has clear objective, is appropriately structured, with up to date content reflecting the title and objective and being appropriate for the target audience.
10.2	Delivery methods for the programme, including timings for workshops/sessions and length of the overall programme are appropriate for the content to be delivered.
10.3	The backgrounds and learning needs of all learners are considered in programme planning
10.4	Assessments have clear and valid outcomes, and their methods are appropriate for the programme content.
10.5	Assessment tools are fit for purpose and the number of assessment tools is sufficient for programme assessment and frequency of delivery.
11.1	Tutors respond to different learning needs of learners, taking various learning styles into account in their planning and delivery of sessions.
11.2	Tutors employ effective strategies to involve all learners in active participation and to check their understanding of concepts and programme content.
11.3	Marking of assignments and assessments is carried out by suitably qualified, experienced markers

## 4.2 Satellite sites

At the time of the original accreditation it will have been made clear to the training provider whether it has the option to add satellite sites at some point at the future or not.

Accredited training providers that have this option open to them should review the CILEx Training Provider Accreditation Standards to ascertain how all relevant requirements are met at a satellite site they are looking to add. Accredited training providers should then discuss with CILEx how the new satellite site might be included within their existing accreditation.

The first stage of the process will be to agree a timetable, to determine what evidence will need to be submitted to CILEx and whether a visit to the satellite site will be required. This will be done in discussion with the CILEx Accreditation Manager.

If a visit is required, this may be undertaken by CILEx staff, external Quality Panellists or both, depending on the circumstances of the satellite site. The training provider must be able to demonstrate that the satellite operates to the same quality standards, offers the same learner experience and poses no greater risk to CILEx than the training provider upon which the original accreditation decision was based.

## Section 5: The CILEx Accredited Training Provider Agreement and ongoing requirements for Accredited Training Providers

All accredited training providers are required to fully comply with the CILEx Accredited Training Provider Agreement which incorporates the ongoing requirements to which all accredited training providers are subject. The regulations, handbooks, requirements, policies, procedures and guidance which govern the delivery of CILEx qualifications are set out in Schedule 1 of the CILEx Accredited Training Provider Agreement.

**It is imperative that training providers immediately update CILEx with any changes relating to their CILEx provision. Examples of these changes are listed under 4.2.8, 4.2.9, 4.10.6 and 12.2.5 of the CILEx Accreditation Agreement. However, it is important to remember that such changes are not limited to the referenced points in the agreement.**

All accredited training providers are subject to an audit and review process to ensure they continue to meet CILEx requirements in relation to the delivery of CILEx qualifications. CILEx reserves the right to review and amend its ongoing requirements to ensure they remain fit for purpose and facilitate ongoing compliance with regulatory requirements. Training providers will be given 25 working days written notice of any amendments to these requirements and will be required to comply with the amended requirements unless during that 25-day notice period the training provider objects to the proposed amendments and provides notice to CILEx of its intention to withdraw from CILEx qualification delivery. In meeting the requirements, CILEx can be confident that its accredited training providers continue to comply with CILEx requirements and regulatory obligations.

## Section 6: CILEx Accredited Training Provider Risk Monitoring

### 6.1 CILEx risk-based monitoring approach of accredited training providers

CILEx accredited training providers play an important role in qualification delivery and assessment. Maintaining quality, consistency and high standards of delivery and assessment is essential to the success of CILEx qualifications and in ensuring CILEx is able to comply with the General/Standard Conditions of Recognition.

CILEx approach to the risk monitoring of accredited training providers aims to identify good practice and that which could undermine a training provider's compliance with Accredited Training Provider Agreement that it has with CILEx. While the CILEx approach uses both quantitative and qualitative information, it has at its core, quantitative risk modelling based upon training provider performance data.

The risk models developed for training providers will classify them as major, high, medium or low risk. This will inform the type and frequency of the monitoring activities carried out by CILEx.

The following qualitative information may also be used to inform a training provider's risk profile:

- Invigilator reports
- Training Provider Feedback Forms
- External inspection reports
- External Quality Assurer Reports
- Complaints received
- Progress towards Conditions and Recommendations
- Pass rate data
- Training provider's financial stability

#### **Announced Inspection visits**

CILEx reserves the right to visit and enter a training provider's premises with reasonable notice to ensure that all requirements relating to accreditation of a training provider are met. CILEx may also need to visit an accredited training provider in the event of an investigation into training provider malpractice or maladministration, or learner malpractice.

#### **Unannounced visits**

CILEx may carry out unannounced visits to training providers during examination sessions to observe the delivery of CILEx examinations. All visits to training providers are conducted by CILEx representatives authorised to do so by the CILEx Education Compliance Manager, Accreditation Manager or Chief Executive. In addition, should CILEx have cause for concern that there is a significant threat to the integrity of a CILEx qualification, it reserves the right to visit and enter a training provider's premises without notice.

#### **Recording and monitoring incidents**

CILEx records issues, incidents and complaints relating to accredited training providers on an on-going basis. In doing so, CILEx can assess whether a training provider has issues which could pose a risk to the effective delivery of CILEx qualifications, interests of CILEx Learners and/or CILEx reputation. CILEx is then better informed in relation to a training provider's risk profile, can allocate support and guidance accordingly and take action where necessary.



## 6.2 Risk intervention

CILEx aims to help training providers retain their accredited training provider status and to allow them, where appropriate, the time to resolve their own issues. Where an increased level of risk is identified by CILEx it will review the situation and decide on the actions to be taken. All actions taken on the part of CILEx in response to risk will be proportionate and in keeping with the nature of the risk(s) identified. It may be necessary for a CILEx representative to visit a training provider to discuss the identified issues and how these could be addressed. A training provider action plan may be produced to detail specific actions and timescales and progress is monitored until CILEx is satisfied the actions have been addressed.

In the event that CILEx determines that the risk profile of a training provider to be high, risk intervention will commence. Depending on the nature of the issues identified, sanctions may be imposed on the training provider. The CILEx Accredited Training Provider Sanctions are set out in Annex 1.

In the event that a significant incident is identified, for example, where the interests of the training provider's Learners are seriously at risk, the integrity of CILEx qualifications could be compromised, CILEx compliance with the General/Standard Conditions of Recognition could be compromised or CILEx reputation could be harmed, CILEx reserves the right to suspend or withdraw the training provider's CILEx accredited training provider status.

## 6.3 Suspension or withdrawal of CILEx accredited training provider status

Suspension or withdrawal of CILEx accredited training provider status is only taken after careful consideration by CILEx of the training provider's circumstances. Suspension or withdrawal means that a training provider cannot deliver the CILEx qualifications, use CILEx materials, refer to or advertise the CILEx qualifications, use CILEx IT systems and use the CILEx accredited training provider logo for the purposes of marketing and promotion activities. All CILEx materials supplied by CILEx which directly relate to a training provider's CILEx accredited training provider status must be returned immediately to CILEx.

Annex 2 sets out the CILEx Accredited Training Provider Withdrawal Policy.

## 6.4 Appeals process for CILEx accredited training providers

The CEO/Head of the Training Provider is entitled to appeal a decision to withdraw or suspend training provider accreditation which has been imposed on the training provider as a result of a risk-based intervention/investigation or malpractice/maladministration-based investigation except in cases whereby the withdrawal or suspension of accreditation is related to financial or legal reasons. The CEO/Head of the Training Provider must make a request for an appeal within 20 working days of the date of the letter from CILEx confirming the decision and sanctions to be applied.

Requests for appeals are acknowledged by CILEx and are considered by the Qualifications Appeals Committee. Appeals against sanctions will normally be considered by the Committee at its next meeting which will normally be within 60 business days of receipt of the request.

## Section 7: Reporting incidents to CILEx

Training providers are required on an on-going basis to fully comply with the CILEx Accredited Training Provider Agreement including ongoing requirements and CILEx policies and procedures for the qualifications the training provider is accredited to deliver.

Training providers are required to take all reasonable steps to identify and manage the risk of an occurrence of an incident which could compromise the integrity of a CILEx qualification or assessment, compromise the training provider's compliance with CILEx requirements, compromise CILEx compliance with its Conditions of Recognition, compromise the reputation of CILEx or may otherwise comprise an Adverse Effect. Training providers are required to promptly notify CILEx in the event of the occurrence or likely occurrence of such an incident. Such incidents may include but not be limited to:

- Loss, theft or breach of confidentiality of CILEx assessment materials
- Loss of learner assessments (including examination scripts, learner portfolios)
- Insufficient resources to deliver CILEx qualifications in accordance with CILEx requirements
- Incident of malpractice or maladministration
- Failure to deliver CILEx assessments/examinations in accordance with CILEx regulations, policies and procedures
- Financial irregularities

When reporting an incident to CILEx, the training provider should provide the following information, as appropriate to the incident:

- a summary of the incident
- the number of learners affected
- the actual or potential impact on learners
- any action being taken to mitigate the impact of the incident and the associated timelines

All incidents must be reported to the CILEx Accreditation Manager.

## Section 8: Training Provider decides to withdraw from delivering CILEx qualifications

If a training provider decides not to continue to deliver the CILEx qualifications, the training provider representative must contact the CILEx Accreditation Manager immediately. CILEx is keen to assist its training providers to remain accredited if possible and may be able to help the training provider with any delivery issues that the training provider is experiencing. However, if the training provider's final decision is not to continue to deliver a CILEx qualification, CILEx requires that the training provider gives due consideration to protecting the interests of the training provider's CILEx Learners.

Training providers must provide sufficient advance notice of the training provider's intention not to continue as a CILEx accredited training provider to enable CILEx to make adequate plans to secure support for the Learners concerned. Training providers withdrawing from delivery of CILEx qualifications must comply with the Accredited Training Provider Agreement.

Annex 2: CILEx Accredited Training Provider Withdrawal Policy includes details on the steps that training providers must take in the event of their voluntarily withdrawing from delivery of this CILEx qualification.

## Section 9: CILEx Responsibilities to Accredited Training Providers

To assist accredited training providers to effectively deliver CILEx programmes of learning CILEx will commit to the following:

- Set-out all the requirements with which the training provider must comply in order to continue to deliver CILEx qualifications. These requirements can be found within the Accredited Training Provider Agreement, the Accredited Training Provider Handbook and the CILEx policies and procedures governing CILEx qualifications including the Qualifications Handbooks.
- Answer accurately, fully and within reasonable time any reasonable enquiries received from Users of the qualification.
- Provide effective guidance to the training provider in respect of the delivery of the CILEx qualifications which the training provider undertakes.
- Upon request, provide the training provider with guidance on how to best prevent, investigate and deal with malpractice or maladministration.
- Provide (and publish where appropriate) information in relation to:
  - Sanctions policy to be applied in cases where a training provider fails to comply with the CILEx requirements. Details on the full range of possible sanctions can be found in Annex 2.
  - Written complaints procedure
  - Information on the enquiries and appeals process to enable the results of assessments to be appealed
  - The qualification specifications and qualification requirements
  - The arrangements for making reasonable adjustments
  - The arrangements for making access arrangements
  - The arrangements for giving special consideration
  - CILEx key dates and deadlines including timescales for the issue of results and certificates
  - The policy for issuing invoices, payment of invoices and the retention and content of invoices
- Comply with the requirements of data protection legislation in relation to any personal data supplied by the training provider.
- Specify a process to be followed in any withdrawal of the training provider (whether voluntary or not) from its role in delivering a qualification, or from qualification/training provider approval in general.
- Take all reasonable steps to protect the interests of Learners where the training provider withdraws from the delivery of the qualification.
- Publish its fees for CILEx accreditation.

## Section 10: Further Information

### 10.1 CILEx Policies and Procedures

The CILEx Policies and Procedures are identified in Schedule 1 of the Accredited Training Provider Agreement. The policies and procedures are available on the CILEx website ([www.cilex.org.uk](http://www.cilex.org.uk)).

### 10.2 Key Deadlines and Dates

The key dates and deadlines/schedules for each CILEx qualification are set out in the relevant Qualification Handbook and are available on the CILEx website ([www.cilex.org.uk](http://www.cilex.org.uk)).

### 10.3 Equality and Diversity

CILEx at all times treats its customers with dignity and respect. As an Awarding Organisation, CILEx will ensure that its qualifications, its standards for accredited providers of those qualifications and its assessments are designed to make study accessible to all, regardless of age, disability, gender reassignment, race, religion/belief, gender, sexual orientation, pregnancy and maternity.

### 10.4 CILEx investigation into alleged training provider malpractice or maladministration

Full details of CILEx policy and procedures in relation to alleged training provider malpractice or maladministration can be found in the CILEx policy and procedures for dealing with cases of suspected accredited training provider malpractice or maladministration, which are available on the CILEx website ([www.cilex.org.uk](http://www.cilex.org.uk)).

CILEx reserves the right to suspend or withdraw a training provider's accredited training provider status where an allegation of training provider malpractice threatens the interests of learners, the integrity of the qualification, CILEx reputation or CILEx compliance with the General/Standard Conditions of Recognition.

### 10.5 CILEx GDPR Policy

CILEx is committed to respecting the personal data training providers supply to CILEx. The information CILEx collects will be relevant to the purposes for which it is used and CILEx will do its utmost to ensure that such data will be accurate, complete and kept up to date. CILEx does not sell, trade or rent personal information to others.

The information CILEx collects will only be used for the purposes for which it was originally submitted. CILEx may be required to share personal information collected with our regulators, Ofqual, Qualifications Wales, CCEA and CILEx Regulation.

## 10.6 CILEx Commitment to Customer Service

CILEx is committed to providing its accredited training providers and learners with the highest standards of customer service.

CILEx Customer Service Statement:

- To provide comprehensive legal education
- To develop relationships with all members
- To communicate with all customers in a clear and effective manner
- To ensure that CILEx services are subject to quality assurance
- To aim to deliver the highest level of customer satisfaction and meeting their needs in the most effective way
- All stakeholders will be treated with dignity and respect
- CILEx will comply at all times with its Equality and Diversity Policy

If you are not satisfied with how your complaint has been dealt with, please visit the Customer Service feedback page on [www.cilex.org.uk](http://www.cilex.org.uk), where the Customer feedback form, policy and procedure is available. Alternatively, you can email [customerservice@cilex.org.uk](mailto:customerservice@cilex.org.uk)

## Section 11: Advertising and Marketing

A training provider is only authorised to use the CILEx accredited training provider logo when it has been granted accredited training provider status. Accredited training providers must use the logo in accordance with the CILEx Logo Usage Policy and Guidelines. Any misuse of the CILEx accredited training provider logo will be investigated by CILEx and action may be taken against the training provider accordingly.

The qualification titles training providers may use for advertising and marketing purposes can be found on the CILEx website [www.cilex.org.uk](http://www.cilex.org.uk)

Accredited training providers are required to comply with the CILEx Advertising Principles for Accredited Training Providers and ensure that learners are provided with accurate and honest information about courses provided by accredited training providers in order that learners can make informed choices when choosing an accurate training provider.

Accredited training providers have opportunities throughout the year to promote their courses through the Education Supplement and the monthly CILEx Journal. To discover how advertising your courses with CILEx may benefit your training provider please contact the CILEx Journal Team members. The CILEx Advertising Principles for Accredited Training Providers are applied to all advertisements submitted by accredited training providers for inclusion in the CILEx Journal or other CILEx publications.

## Section 12: CILEx Contacts

All applications for CILEx training provider accreditation should be submitted to the CILEx Accreditation Team. If you need help in accessing the relevant information from the CILEx website or have queries on any aspect of CILEx training provider accreditation, please contact the Accreditation Team.

Department/Team	Key Responsibilities
<p><b>Accreditation</b></p> <p>Accreditation Manager E: <a href="mailto:lisa.sparkes@cilex.org.uk">lisa.sparkes@cilex.org.uk</a> T: 01234 845734 M: 07887 421910</p> <p>Accreditation Officer E: <a href="mailto:karen.few@cilex.org.uk">karen.few@cilex.org.uk</a> T: 01234 844615 M: 07468 753193</p>	<ul style="list-style-type: none"> <li>• Training provider accreditation standards</li> <li>• Training provider accreditation process</li> <li>• Risk profiling</li> <li>• Risk-based monitoring</li> <li>• Quality assurance</li> <li>• Conditions and Recommendations</li> <li>• Malpractice and maladministration</li> <li>• Compliance with the Conditions of Recognition</li> </ul>
<p><b>Business Development</b></p> <p>Business Development Manager E: <a href="mailto:martin.petch@cilex.org.uk">martin.petch@cilex.org.uk</a> M: 07833 496118</p> <p>Strategic Improvement Lead E: <a href="mailto:liz.kemp@cilex.org.uk">liz.kemp@cilex.org.uk</a> T: 01234 844351 M: 07827 963419</p>	<ul style="list-style-type: none"> <li>• Business engagement</li> <li>• Client relationships</li> <li>• Client account management</li> <li>• Training provider development and growth opportunities</li> <li>• Building and disseminating good practice</li> <li>• Training Provider support</li> </ul>
<p><b>Membership Contact Training Provider</b></p> <p>E: <a href="mailto:membership@cilex.org.uk">membership@cilex.org.uk</a></p> <p>T: 01234 845777</p>	<ul style="list-style-type: none"> <li>• Student/Member/Fellow applications and fees</li> <li>• Advice on all aspects of exams and qualifications</li> <li>• CPD advice</li> <li>• Qualifying Employment enquiries</li> <li>• Work-based learning queries</li> <li>• Membership upgrades</li> <li>• General advice on Practice Rights</li> <li>• Assessment registration, regulations &amp; fees</li> <li>• Results notifications</li> <li>• Special consideration</li> <li>• Reasonable adjustments/access arrangements</li> <li>• Exemptions</li> <li>• General accredited training provider queries</li> </ul>
<p><b>CILEx Journal</b></p> <p>Advertising Manager E: <a href="mailto:amanda.brewitt@cilex.org.uk">amanda.brewitt@cilex.org.uk</a> T: 01234 845737</p> <p>Head of Communications E: <a href="mailto:sharon.bruty@cilex.org.uk">sharon.bruty@cilex.org.uk</a> T: 01234 845721</p>	<ul style="list-style-type: none"> <li>• Advertising in CILEx Journal or CILEx Education Supplement</li> </ul>

CILEx Address: CILEx, Kempston Manor, Kempston, Bedford, MK42 7AB

Website: [www.cilex.org.uk](http://www.cilex.org.uk)

Main switchboard telephone number: 01234 841000

CILEx office opening hours are Monday to Thursday 8.45 am to 5 pm and Friday 9 am to 4 pm.



## Annex 1

CILEx Accredited Training Provider Sanctions Policy	
<i>Policy name</i>	CILEx Accredited Training Provider Sanctions Policy
<i>Policy reference</i>	PP00042
<i>Date of Issue</i>	2 January 2018
<i>Next review date</i>	31 July 2018

### 1. Purpose

CILEx has a responsibility to protect the integrity of its qualifications and to take action to protect the interests of learners and minimise risks to the integrity of its qualifications.

CILEx may apply sanctions to a training provider where it is identified that a training provider has failed to comply with CILEx policies, procedures, regulations or requirements, where issues are identified in relation to the training provider's delivery of CILEx qualifications and assessments, including incidents which may prejudice learners, threaten the reputation of CILEx, compromise the integrity of CILEx qualifications and/or could have an adverse effect.

Sanctions are also applied in relation to incidents of maladministration or malpractice. The CILEx Malpractice and Maladministration Policy – CILEx Accredited Training Providers sets out CILEx policy and procedures in relation to suspected accredited training provider malpractice and/or maladministration.

### 2. Implementation of sanctions

All accredited training providers are subject to ongoing monitoring. CILEx carries out audit activities to inform its risk profile of training providers.

CILEx records issues, incidents and complaints relating to accredited training providers on an ongoing basis. CILEx determines the nature and extent of risk interventions/investigations for accredited training providers and the sanctions to be applied to a training provider, where appropriate. The nature of risk interventions and the sanctions to be applied will depend on the issues which have been identified and will be determined on a case by case basis. Decisions in relation to sanctions are informed by the sanctions criteria set out below.

The Qualifications Malpractice Committee determines the sanctions to be applied to a training provider in relation to an incident of malpractice or maladministration. The Qualifications Malpractice Committee's decision is informed by the criteria set out below.

### 3. Sanctions criteria

The criteria set out below are provided as a guide only. CILEx reserves the right to apply the sanctions flexibly, as appropriate, to a determined situation and may use more than one sanction in an instance where it is judged to be required.

Sanction	Criteria
Training provider action plan	<ul style="list-style-type: none"> <li>• Breach of CILEx policies, procedures, regulations or requirements which does not threaten the integrity of CILEx assessments or qualifications</li> <li>• The training provider's Meaningful Employer Engagement Strategy plans or records for the Tech Level qualification fail to fully comply with CILEx requirements</li> </ul>
Additional monitoring or an inspection visit	<ul style="list-style-type: none"> <li>• Breach of CILEx policies, procedures, regulations or requirements which could have resulted in a threat to the integrity of a CILEx qualification if left unchecked</li> <li>• Poor management of an examination or assessment (including inadequate examination invigilation)</li> <li>• Failings in training provider's record keeping</li> <li>• Failure to address action points identified on training provider action plan within agreed timeframe</li> <li>• The training provider's Meaningful Employer Engagement plans, or records fail to fully comply with CILEx requirements for the Tech Level qualification</li> </ul>
Void learner assessment (including examination) results	<ul style="list-style-type: none"> <li>• Integrity of an assessment/examination has been compromised</li> </ul>
Suspension of learner registration and/or certification for a CILEx qualification or units from a CILEx qualification and/or approval of training provider to deliver CILEx qualifications	<ul style="list-style-type: none"> <li>• Failure to comply with the CILEx Accredited Training Provider Requirements and/or qualification requirements</li> <li>• There is a threat to the interests of learners</li> <li>• Loss of integrity of training provider's assessment decisions</li> <li>• Improper assistance to candidates by training provider staff in the production of work for CILEx assessments</li> <li>• Security breach of confidential assessment materials (including but not limited to examinations, Professional Skills materials, synoptic assessment materials)</li> <li>• Loss of integrity regarding training provider's delivery of examinations and/or assessments</li> <li>• Failure to provide access to requested records, information, learners and staff</li> <li>• Significant issues identified with training provider's record keeping</li> <li>• Failure to address action points identified on training provider action plan within agreed timeframe</li> <li>• Non-payment of invoices</li> <li>• Failure to comply with CILEx requirements for Meaningful Employer Engagement for the Tech Level qualification</li> </ul>
Withdrawal of approval of training provider to deliver CILEx qualification/s	<ul style="list-style-type: none"> <li>• Failure to comply with the CILEx Accredited Training Provider Requirements and/or qualification requirements</li> <li>• Serious breakdown in management and/or quality assurance of a CILEx qualification. Serious failure to maintain security of confidential assessment materials (including examination and Professional Skills materials)</li> <li>• Non-compliance of training provider with training provider action plan leading to loss of integrity regarding training provider's ability to deliver CILEx qualifications</li> <li>• Failure to comply with CILEx malpractice or maladministration investigation</li> <li>• Significant malpractice/maladministration identified</li> <li>• Mishandling of fees and/or financial irregularities</li> <li>• Non-payment of fees</li> </ul>

#### **4. Appealing a sanction imposed as a result of a CILEx risk-based investigation**

The Head of the Training Provider is entitled to appeal a decision to withdraw or suspend training provider accreditation which has been imposed on the training provider as a result of a risk-based intervention/investigation except in cases whereby the withdrawal or suspension of accreditation is related to financial or legal reasons. The Head of the Training Provider must make a request for an appeal within 20 working days of the date of the letter from CILEx confirming the decision and sanctions to be applied.

Requests for appeals are acknowledged by CILEx and are considered by the Qualifications Appeals Committee. Appeals against sanctions will normally be considered by the Committee at its next meeting which will normally be within 50 working days of receipt of the request.

#### **5. Appealing a sanction imposed by the Qualifications Malpractice Committee**

The CILEx Malpractice and Maladministration Policy and Procedures – CILEx Accredited Training Providers sets out the CILEx policy and procedures in relation to training provider appeals of Qualification Malpractice Committee decisions and sanctions imposed by the Qualifications Malpractice Committee.

A written request for an appeal must be made within 20 working days of the date of the correspondence from the Qualifications Malpractice Committee Clerk confirming the Qualifications Malpractice Committee's decision and the sanctions/penalties agreed by the Committee. This deadline will normally be set out in the letter confirming the decision of the Qualifications Malpractice Committee.

## Annex 2

### CILEx Accredited Training Provider Withdrawal Policy

<i>Policy name</i>	CILEx Accredited Training Provider Withdrawal Policy
<i>Policy reference</i>	PP00043
<i>Date of Issue</i>	8 September 2017
<i>Next review date</i>	31 July 2018

#### 1. Introduction

This policy identifies the steps that must be taken by accredited training providers in the event that they either voluntarily withdraw from the delivery of CILEx qualifications or are required by CILEx to withdraw from the delivery of CILEx qualifications.

This policy assumes that when a training provider either voluntarily withdraws or is required by CILEx to withdraw from CILEx qualification delivery, then it terminates its CILEx training provider accreditation.

The full range of sanctions applicable to accredited training providers prior to being required to withdraw by CILEx is set out in the CILEx Accredited Training Provider Sanctions.

Withdrawal, as a term, is understood to mean the complete cessation of delivery of CILEx qualifications. It should not be confused with 'suspension' of delivery which is temporary and often refers to certain targeted aspects of an accredited training provider's delivery of CILEx qualifications.

#### 2. Voluntary withdrawal

An accredited training provider voluntarily withdraws from the delivery of CILEx qualifications when it freely decides that it no longer wishes to deliver CILEx qualifications. This should not be confused with required withdrawal which is where CILEx removes accreditation status and requires an accredited training provider to no longer deliver CILEx qualifications.

In advance of making a decision to withdraw from the delivery of CILEx qualifications, the Head of the Training Provider should notify the CILEx Training Provider Accreditation Co-ordinator of its possible intentions. CILEx is keen to understand and support training providers in relation to qualification delivery, and prior notification of this kind may enable CILEx to identify and offer solutions to issues that mean that accredited training providers do not have to withdraw, and that learners are able to complete their programme of learning.

Where an accredited training provider, however, freely wishes to withdraw from delivery of CILEx qualifications, then it must do the following:

(i) The Head of the Training Provider must notify the CILEx Training Provider Accreditation Co-ordinator in writing (email or letter) immediately.

The email/letter must address the following key responsibilities:

- reason for withdrawal – this helps CILEx understand your decision;
- Training provider withdrawal plan – which must address the following:
  - **date of withdrawal** - the date of withdrawal must take into account the best interests of the learners already studying towards CILEx qualifications and give sufficient notice for them to make alternative arrangements;
  - **give details of how learners' interests will be safeguarded** – what the accredited training provider intends to do to ensure that learners affected and mid-way through units and qualifications will be supported by the training provider to find alternative study training providers. CILEx requires learners for the Professional or Legal Services Knowledge qualifications to be provided with at least one opportunity to re-submit for quality assurance checks by CILEx, any outstanding previously submitted but failed assessments for the Professional Skills units. This includes providing appropriate support/guidance and marking of the assessments;
  - **details of any outstanding actions that the training provider needs to undertake for CILEx during the period preceding withdrawal and its plan for completion of these actions** (for example, if a training provider is being monitored for certain risks, and is following an action plan, then what actions are still outstanding during the period prior to withdrawal);
  - **confirm that it will no longer at the point of withdrawal use CILEx materials or the CILEx Accredited Training Provider logo in any of its marketing/promotional activities.**

(ii) The Head of the Training Provider must ensure that the Professional Skills Tutor and Candidate materials (for training providers delivering CILEx Professional or Legal Services Knowledge qualifications) are returned to CILEx or specify the date for their return. The Professional Skills Tutor Guidance and Candidate materials must be returned to CILEx via secure post.

(iii) The Head of the Training Provider must provide clear and accurate information about the withdrawal to learners who are likely to be affected by the withdrawal and ensure the training provider meets any unreasonable financial burden incurred by affected learners caused by the withdrawal.

Accredited training providers should note that where a withdrawing accredited training provider has learners who will not be able to complete their studies at the training provider, CILEx may be able to provide information and support to enable them to complete their programme of learning. Training Providers are required to communicate with CILEx whilst making any plans to voluntarily withdraw from delivery.

Accredited training providers should also note that where they wish to voluntarily relinquish delivery of a specific qualification, but not overall training provider accreditation status, then they must still follow the steps indicated above for the responsible withdrawal from CILEx qualification delivery for the qualification concerned.

### 3. Required withdrawal

Accredited training providers undergoing risk-based intervention/investigation or training provider malpractice/maladministration investigations may be subject to one or more of the range of sanctions/penalties set out in the CILEx Accredited Training Provider Sanctions.

Sanctions are proportionate to circumstance and are escalatory in nature depending upon the level of concern and risk. CILEx reserves the right to use sanctions as appropriate to a determined situation and may use more than one sanction in an instance where it is judged to be required.

The vast majority of accredited training providers facing risk-based intervention or malpractice/maladministration investigations will face sanctions short of permanent removal of training provider accreditation. However, in certain circumstances, as identified in the CILEx Accredited Training Provider Sanctions, an accredited centre is required by CILEx to withdraw from its delivery of the CILEx qualifications.

Where an accredited training provider is required by CILEx to withdraw, then CILEx will inform the training provider in writing of its decision to remove training provider accreditation. CILEx will inform the training provider of its reasons for the decision and will state the date by which accredited training provider status will be removed. Where circumstances permit, CILEx will allow the training provider time to prepare its withdrawal from the delivery of CILEx qualifications.

CILEx expects the training provider to withdraw appropriately, in accordance with the terms set out in the Accredited Training Provider Agreement and in accordance with the following procedure:

- (i) The Head of Training Provider must notify the CILEx Training Provider Accreditation Co-ordinator in writing (email or letter) immediately of the training provider's receipt of CILEx decision and its compliance with the decision.
- (ii) The email/letter must address the following key responsibilities:
  - **confirm that the training provider will comply with the required date of removal of accreditation**, and any issues that this situation poses that need addressing;
  - **confirm that it will no longer at the point of withdrawal use CILEx materials, IT systems, where appropriate, or the CILEx Accredited Training Provider logo in any of its marketing/promotional activities;**
  - **ensure that the Professional Skills Tutor and Candidate materials (for training providers delivering the CILEx Professional or Legal Services Knowledge qualifications) are returned to CILEx by the date specified by CILEx.** The Professional Skills Tutor Guidance and Candidate materials **must** be returned to CILEx via secure post.

#### **4. Training Providers Failing to Comply with the CILEx Accredited Training Provider Withdrawal Policy**

In the event that a training provider fails to comply with the CILEx Accredited Training Provider Withdrawal Policy, irrespective of whether the withdrawal was voluntary or required by CILEx, CILEx will take action accordingly to safeguard the interests of learners, ensure CILEx compliance with the General/Standard Conditions of Recognition and protect the reputation of CILEx.

CILEx may also take action against the training provider in accordance with the Accredited Training Provider Agreement. CILEx will consider each case on its merits before deciding the appropriate course of action. Actions which CILEx may consider include but are not limited to:

- Contact the training provider's learners to facilitate their ongoing studies;
- Inform the regulatory authorities, where appropriate, of the training provider's failure to comply with the CILEx Accredited Training Provider Withdrawal Policy and Accredited Training Provider Agreement and any associated issues;
- Post information on the CILEx website that the training provider is no longer accredited, including any issues which have been identified;
- Initiate legal proceedings.