



**IIMTS**  
Awarding Body

# IIMT STUDIES LTD **CENTRE POLICY**

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## Centre Sanctions Policy

### Policy Compliance:

This policy complies with

Ofqual, Handbook 3. Criterion C2: Arrangement with Centres



# IIMTS

## Awarding Body

### Awarding Quality Qualifications through Global Recognition

Document Code No. IIMTS AO OGCR CSP 01 2020

<b>Title of the Policy:</b> Centre Sanctions Policy	<b>Authorised by</b>  Responsible Officer	<b>Created: Version 1</b> 1 November 2023
<b>Conditions of Recognition:</b> General Conditions of Recognition		<b>Current version: 3</b>  <b>Next Review Date:</b> 1 April 2026

### Important contact-

**Any query or concern related to this policy may be directly addressed to the Responsible Officer and Director- Business Development and Quality Assurance Team-**

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***Awarding body:***

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*Acronym used to represent IIMT Studies Ltd (IIMT Studies):*

*IIMTS AB*

***Regulating Body:***

*OFQUAL*

*Ofqual.gov.uk*

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### **(A) Policy Code: IIMTS\_AO\_OGCR\_CSP\_01\_2020**

#### **(B) Policy Statement:**

The objective of the Sanctions Policy is to provide guidance and support to help mitigate the risk of noncompliance with the **Centre Agreement and other quality assurance standards** defined by IIMT Studies as compliance with **conditions of recognition**. In this regard, the Centre Agreement is a document to be reviewed alongside this policy.

All centres approved by IIMT Studies are required to sign an enforceable agreement with IIMT Studies before they begin the delivery and further assessment. All the guidelines must be followed, and compliance must be met at all times by the Centre mentioned in the agreement.

The policy applies when:

Potential issues are identified with the Centre, but are not limited to noncompliance with processes and policies, internal monitoring, communication received from regulators or any other external bodies concerning the Centre's function, its operations, financial ability, assessment, feedback received from stakeholders or other potential aspects of noncompliance.

The decision as regards sanctions is taken by the Responsible Officer with the assistance of the Director - Business Development.

#### **(C) Policy Scope**

The Centre's sanctions policy serves as a comprehensive framework to guide and support the prevention and management of noncompliance risks associated with the Centre Agreement and other quality assurance standards established by IIMT Studies in order to comply with the Conditions of Recognition. The compliance with the conditions of recognition is the priority in maintaining the integrity of being a regulated awarding organisation in the UK. It is crucial to note that the Centre Agreement is a central document that must be thoroughly reviewed alongside this policy, as it outlines the terms and expectations governing the relationship between IIMT Studies and approved centres.

## **(D) Objectives of Policy:**

This policy is to ensure that:

- The functions of centres are monitored
- The learners' interest is protected
- Integrity and honesty are maintained by centres during the delivery and assessment of qualifications
- All compliances are met by centres
- Centres are continuously monitored
- All possible support is given to centres whenever they require it
- Actions are taken against centres that do not meet the compliance and policies of IIMT Studies
- Sanctions are only applied if required to protect the discipline as per the centre agreement, to protect the qualification integrity and to protect the interests of learners
- Centres are identified which are not acting in accordance with the agreement
- Appropriate action is taken to secure compliance, or where necessary, to apply appropriate and proportionate sanctions

## **(E) Areas/Examples of Potential Breach**

### *General Conditions of Recognition*

- *Access to Records, People & Premises* – failure to keep appropriate records for the number of years required (usually 6 years)
- *Centre Workforce* – failure to have appropriate levels of capacity /capability to deliver and assess IIMT qualifications
- *Noncompliance with relevant national legislation* – health & safety, data protection, equal opportunities, etc.
- *Complaints & Appeals* - failure to have effective internal processes in place in this regard
- *Malpractice & Maladministration* - failure to have robust procedures in place, which are regularly reviewed and enforced
- *QA/Moderation/Verification* – failure to work in line with processes laid down or address actions arising from monitoring visits and within stated timelines
- *Resources* – failure to ensure adequate & appropriate learning resources
- *Learner Registration & Certification* – failure to register learners in a timely manner and within IIMT requirements. In particular, it is important to emphasise that learners are not to progress to the next stage until the relevant external verification has been completed
- *Management of Third Parties* – failure to effectively manage satellite sites. Must have enforceable agreements in place that mirror IIMT policies and requirements
- *Withdrawal of Recognition & Protection of Learner Interests* – lack of cooperation with IIMT in cases of Centre withdrawal and insufficient safeguarding of learner interests
- *Invoicing* – failure to pay IIMT invoices within the stated terms

## **(F) Definitions:**

**Centre:** The term means a college or the organisation selected or appointed by the Awarding Body, as its representative for a particular region or place, through a standard selection process to carry out:

- Sales and marketing activities of IIMT Studies qualifications
- Delivery of specified Ofqual-regulated qualifications awarded by IIMT Studies
- Support and services for the learner as per the agreement.
- All statutory and other compliance under all applicable laws.
- Proper governance as per the stipulated norms and guidelines of the Awarding Body and according to the scope of work as per the signed agreement with the Awarding Body.

## **Withdrawal Process:**

It is the prescribed, laid down formal process of the Awarding Body to be carried out by the Awarding Body directly or through any competent agency, to discontinue the IIMT Studies formal recognition from the recognised Centre. It may include the noncompliance of:

- Credentials and credibility of the agency/organisation and its promoters, directors, or proprietors.
- Resources and infrastructure owned by the agency/organisation.
- Assessment of financial resources of the directors/proprietors or organisation/ agency required to deliver support/services.
- Competency & experience of the agency/owners/directors/proprietors.
- Legal sanctity of the company/organisation/agency and/or its directors/owners/proprietors.
- Practices of the organisation.
- Prescribed policies of IIMT Studies.
- Qualification delivery and/or assessment.
- Internal quality control.
- Status of the organisation as Brown status (Please read the [Centre Arrangement Document](#) for more information).
- Centre agreement.
- Centre arrangement document.

## **(G) Policy Framework and Categories of Breach:**

As we note below, we identify low, medium and high levels of risk and a sliding scale of sanctions depending on the factors to be taken into account.

## Factors to be taken into account in determining the severity of the breach

- Learner Interest & Well-being
- IIMT & Centre employee interest and well-being
- Compliance with Conditions of Recognition
- Compliance with relevant national legislation
- Damage to IIMT's reputational, financial and operational standing

This policy has the following explained risk levels to identify the potential risk related to centres and the process to follow to impose sanctions on centres which do not comply with the minimum required quality standards, policies and procedures, and which do not meet the centre arrangement requirements to be able to remain a recognised centre of IIMT Studies.

- a) Level of risk
- b) Procedures
- c) Types of sanctions
- d) Types of breach
- e) Sanctions imposed
- f) The time frame given for improvement

Risk severity	Risk Impact
Low risk	<ul style="list-style-type: none"><li>• Minimum or no impact</li><li>• May not require any action</li><li>• Easily manageable</li></ul>
Medium risk	<ul style="list-style-type: none"><li>• Low or medium-impact</li><li>• Requires action</li><li>• May require an action plan</li></ul>
High risk	<ul style="list-style-type: none"><li>• Medium or high risk</li><li>• Requires action or urgent action</li><li>• Must require an action plan</li></ul>

### Procedures:

Sanctions may be imposed based on the internal monitoring process, visits to centres, malpractices and maladministration identified or reported or noncompliance of policies and processes and/or failure to meet the required standards stated in the centre arrangement document defined by IIMT Studies Ltd.

### Types and sliding scale of sanctions:

As noted below, there will be a sliding scale of sanctions.

*For example*

**Low Level** – Notification on Centre File (isolated instances), Written Warning (repeated instances) & Investigation & Suspension (continual breaches)

**Material Breach** – Written Warning (isolated instances), Investigation & Suspension (repeated instances), & Withdrawal of Recognition (continual breaches)

**Significant Breach** - Investigation & Suspension (isolated instances) & Withdrawal of Recognition (repeated instances)

Actions as per the identification and mentioned in an action plan

Learner registration suspension which also includes certificate rights

Withdrawal of a specific qualification

Withdrawal of Centre approval

**(H) Risk flow chart and Sanctions**

Level of risk	Types of breach	Sanctions	The maximum time frame for corrective actions and compliance
<b>No risk</b>	100% compliance	No sanctions imposed	Next visit
<b>Low risk</b>	<ul style="list-style-type: none"> <li>• Temporary non-availability of staff (less than 45 days)</li> <li>• Non-payment of invoice(s) (less than 30 days)</li> <li>• Serious complaints against the Centre</li> <li>• Non-fulfilment of centre requirements (unavailability of required resources for 45 days)</li> <li>• Noncompliance with Centre approval criteria, but no threat to the integrity of the assessment.</li> <li>• Maintaining yellow centre status during the visit. Gaps identified in quality standards.</li> <li>• Non-disclosure of conflict of interest/potential conflict of interest</li> </ul>	<p style="text-align: center;">Actions as per the identification and mentioned in an action plan</p> <p>At this risk level, IIMT Studies will ensure to</p> <ul style="list-style-type: none"> <li>• Issue an action plan to meet</li> <li>• Review of the action plan requirements met fully within the specified timeframe</li> <li>• Assist the Centre in meeting the action plans required to meet</li> </ul> <p>Centres are required to comply within the timeframe with:</p> <ul style="list-style-type: none"> <li>• Meeting all requirements</li> <li>• Fulfilling all gaps</li> <li>• Assuring all issues are resolved within the stated time duration</li> <li>• Action plan to meet the requirements</li> <li>• Submission of compliance and required evidence</li> </ul> <p>If the action plan requirements are not met within the specified time frame, the Centre</p>	<p>Maximum three months</p> <p>(Time frame may interrupt claimed awards, depending on the Centre meeting the action points)</p>

		Will automatically move to the next level of risk ( <b>Medium risk</b> ).	
<b>Medium risk</b>	<ul style="list-style-type: none"> <li>• Noncompliance with legislative requirements</li> <li>• Loopholes identified in centre operations that don't affect the assessments and/or qualification integrity</li> <li>• Centre workforce unavailability (for more than 45 days)</li> <li>• Serious complaints against the Centre</li> <li>• Non-payment of invoices (for more than 30 days)</li> <li>• Non-fulfilment of centre requirements (for more than 45 days) as to the centre agreement requirements</li> <li>• Not meeting the action points identified in the previous visit</li> <li>• Scrutiny of the integrity of assessment decisions is required due to noncompliance with Centre approval criteria or concerns with assessment and quality assurance procedures.</li> <li>• Serious gaps were identified during the visit</li> <li>• Previous gaps are not met fully as per the action plan</li> <li>• The time frame for meeting the gaps mentioned in the action plan exceeded</li> </ul>	<p>Learner registration suspension, which also includes certificate rights</p> <p>An action plan will be issued. The Centre must meet the action plan requirements within the specified time frame. An investigation will be carried out against the Centre. Additional close monitoring will be applied to Centre activities.</p> <p>Immediate action and resolution of identified issues will be required. However, if the Centre falls under medium risk status:</p> <ul style="list-style-type: none"> <li>• Learner registration may not be allowed</li> <li>• Certificate claims are not allowed</li> <li>• Qualifications may be suspended</li> </ul> <p>If the action plan requirements are not met within the specified time frame, the Centre will move to the next level of risk (<b>High risk</b>).</p>	45 Days

<p><b>High risk</b></p>	<ul style="list-style-type: none"> <li>• Noncompliance with the centre agreement and/or policies</li> <li>• Malpractice and maladministration in the Centre, which compromise assessment and/or qualification validation</li> <li>• Noncompliance with record management</li> <li>• Assessment is compromised</li> <li>• Qualification integrity is not safe</li> <li>• Violation of the Assessment process</li> <li>• Serious violation of quality assurance in learning delivery and/or assessment</li> <li>• Non-protection of learners' interests</li> <li>• Damage to the IIMT Studies brand image</li> <li>• Non-cooperation with IIMT Studies in case of any requirements raised as per the Centre agreement and/or Centre Arrangement Document.</li> <li>• Serious complaints against the Centre</li> <li>• Conviction under any criminal offence</li> <li>• Not maintaining the integrity of the qualification</li> <li>• Not maintaining assessment integrity</li> <li>• Serious Breakdown in maintaining quality assurance standards and/or in management, which does not mitigate</li> <li>• Red centre status specified in the Centre Arrangement Document</li> <li>• Continuously not meeting the action points identified.</li> </ul>	<p>Withdrawal of recognition of the Centre and qualifications</p> <ul style="list-style-type: none"> <li>• Learner registration is not allowed</li> <li>• Certificate claims are not allowed</li> <li>• Qualifications are suspended</li> <li>• Centre recognition is withdrawn</li> </ul> <p>The Centre is no longer approved by IIMT Studies Ltd.</p>	<p>0 (Immediate)</p>
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	<ul style="list-style-type: none"><li>• Invalid claims of certificates.</li></ul>		
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**(I) Next for Centres:**

**Centre withdrawal**

In case of withdrawal, the withdrawal of the Centre and the qualification policy will be followed.

**Appeals against sanctions**

Centres have the right to appeal against sanction decisions applied by IIMT Studies. They may refer to the Complaint and Appeal Policy to proceed with an appeal. [



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