



**CILEX Professional  
Qualification Approved  
Training Provider  
Handbook**

## Welcome

Welcome to The Chartered Institute of Legal Executives' (CILEX) Approved Training Provider Handbook.

This handbook is for training providers who deliver or are seeking to deliver all or some of the CILEX Professional Qualification.

To gain a full understanding of our CILEX Professional Qualification stages 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 Approved Training Providers.

Please contact the CILEX Accreditation Team if you require assistance regarding the CILEX Training Provider Approval 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, including the CILEX Professional Qualification that supports qualification as a Chartered Legal Executive. CILEX works closely with employers when developing new qualifications and training for the legal sector.

CILEX Approved Training Providers play an important role in helping CILEX trainees achieve their developmental and career aims through the delivery of the CILEX Professional Qualification stages and assessments. All CILEX Approved Training Providers are required to maintain compliance with the CILEX Training Provider Approval Standards and abide by the terms of the CILEX Approved Training Provider Agreement.

## 1.2 Benefits of becoming a CILEX Approved Training Provider

- Public recognition you have met a quality standard.
- Ability to deliver the CILEX Professional Qualification/stages and broaden your offer to trainees.
- Membership of an elite group of high-quality training 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

As an Awarding Organisation, CILEX must demonstrate compliance with the regulatory requirements of its Regulators. In this regard, CILEX is required to have in place a written and enforceable Approved Training Provider agreement with each of its CILEX Approved Training Providers. To this end the training provider shall comply with any reasonable written instruction issued by CILEX for the purpose of which to ensure compliance with these regulatory requirements.

## 1.4 CILEX decision-making policy

The power to approve flows from the 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 approve quality providers keen to work with CILEX in the promotion of its unique offer to trainees in the legal sector. CILEX operates an evidence-based approval process, with three core aims:

1. to ensure all trainees 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 approval 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 approval decision will be based upon this evidence, evaluated through a desk-based review and a visit to the training provider's site(s). Approval to deliver CILEX stages will only be granted where a training provider has evidenced that it meets all the Training Provider Approval Standards.

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

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

## Section 2: CILEX Approval

### 2.1 Approval process

The purpose of the CILEX training provider approval process is to determine whether prospective and previously approved training providers (approved to deliver CILEX's previous programmes and qualifications) have the capacity and capability to meet the CILEX Training Provider Approval Standards relating to the CILEX Professional Qualification, so that trainees are assured that CILEX qualifications and assessments are delivered to the highest standards. Before a training provider can start to offer any CILEX Professional Qualification stages it must be formally approved by CILEX.

### 2.2 Timelines

Training providers should submit their application for CILEX Approval approximately **6 months** prior to the proposed enrolment date (for new applicants) or **6 months** prior to the expiry date of their current CILEX approval agreement. **Training providers should not proceed with enrolments for their proposed CILEX provision until they have been granted CILEX approval.**

Training providers can apply at any stage throughout the calendar year. Training providers should allow up to twenty-eight 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 approval fee is received.**

Applications for CILEX Approval 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 approval fee.

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 6 (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 apply for CILEX Approval again, they would be required to submit a new application form, supporting evidence and pay the initial application fee again.

### Approval fees and CILEX bank account details

Fee type	Fee
Initial application - including fees for the CILEX Approval Visit (duration 1 day)	£2,200
CILEX Approval Visit (subsequent days)	£400 per person per day
Annual Declaration and Monitoring	£500
Re-approval application - including fees for the CILEX Re-Approval Visit (duration 1 day)	£2,200
CILEX Re-Approval Visit (subsequent days)	£400 per person per day
Intervention visit	£400 per person per day
Application to add a satellite site - for CILEX to complete their desk-based review	£300
Virtual CILEX Approval Visit (duration 1 day)	£700
Physical CILEX Approval Visit (duration 1 day)	£1,200

**Approval fees are not refundable in any circumstances.**

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

## 2.3 Approval process - figure 1

### 1. Initial Contact

The training provider contacts the CILEX Business Development Manager and discusses their prospective application. Our Business Development Manager will provide the training provider with sight of our CILEX Approved Training Provider Agreement, as this is the contract (between CILEX and the training provider) which would need to be completed and signed should approval be granted.



### 2. CILEX's consideration of the information provided

CILEX will review the information provided (during discussions) and decide whether the training provider has the capacity and capability to meet our CPQ Approval Standards. Due diligence checks will be completed at this stage. If our Business Development Team determines the training provider will not be capable of delivering the CPQ at the required standard, the applicant will be informed of CILEX's decision.



### 3. CILEX will provide guidance on the application process

CILEX will e-mail the prospective training provider with an invoice and guidance on how they should complete and submit their CILEX Approval Application Form, indicative evidence, and **approval application fee. Approval fees are not refundable in any circumstances.**



### 4. The applicant's submission of their documentation and payment of our application fee

The training provider pays their application fee and uploads their application form and all supporting evidential documentation to the CILEX Training Provider Hub.

**As stated under section 2.2, CILEX is unable to commence the review of the training provider's application until payment of the approval fee has been received.**



### **5. CILEX's desk-based review of the submitted application form and supporting evidence**

CILEX conducts a desk-based review of the submitted application form and supporting evidence and determines if the training provider has meet the CPQ Approval Standards and can progress to the next stage of the process. \* If the application cannot be progressed, this will be confirmed with the applicant, and they will be required to re-visit the outstanding standards. \*



### **6. Arranging CILEX's approval visit to the Training Provider's site(s)**

The CILEX Accreditation Team will liaise with the applicant to arrange for our CILEX Quality Panel to conduct an approval visit.



### **7. Approval visit conducted by our CILEX Quality Panel**

The CILEX Quality Panel meets with staff and trainees, observe premises and learning sessions, and assesses how the training provider meets the approval standards. Depending on the size of the training provider and/or the complexity of the application, the visit may take one or two days



### **8. CILEX Quality Panel's decision**

The Panel's decision may be made at the end of the visit (and communicated to the training provider verbally), or they may need to meet after the visit for further discussions to determine if the training provider has demonstrated it meets the required threshold level for the approval standards. The Panel's decision is based on the evidence gathered during the visit and provided for the desk-based review.



### **9. The training provider's submission of CPQ specific evidence**

The training provider would have been made aware (throughout the application process), that access to CILEX's VitalSource platform and all CPQ materials / literature, would not be made available until approval had been granted by the CILEX Quality Panel. Details of this post approval process will be provided to the training provider by the Panel and the CILEX Accreditation Representative, and a deadline will be agreed (by which the training provider must submit their CPQ specific evidence).





## 10. Confirmation of the Quality Panel's decision

CILEX will issue their CILEX Training Provider Visit Report, confirming their approval decision. The report will reiterate the training provider's details, the details of the visiting CILEX Quality Panel, the mandatory condition(s) and quality improvement plan, and the related timescales (if applicable)

### 2.4 Approval decision

The approval decision will be one of the following:

1. Approval granted without a quality improvement plan
2. Approval granted with a quality improvement plan
3. Approval refused

#### 1. Approval granted with no mandatory condition(s) or quality improvement plan

The CILEX Accreditation Team will notify all relevant areas of the CILEX Directorate and provide them with details regarding the training provider's attainment of CPQ Approval.

The CILEX Account Manager and CILEX Head of Publishing will arrange meetings with the training provider and discuss the support and access to materials / literature, which will be provided going forward. The CILEX Head of Publishing will work with the training provider and support them with the submission of the CPQ specific evidence by the agreed deadline.

All evidence submissions will be made directly to the CILEX Head of Publishing, and communications regarding this matter will be relayed to the CILEX Accreditation Team.

The CILEX Accreditation Team will send an e-mail with a copy of its CPQ Approval Report, confirmation of the outstanding CPQ specific evidence / deadline, and a draft of the training provider's details which will be added to the CILEX website.

Once the CILEX Accreditation Team has received a response to its e-mail, the training provider will be sent a formal approval agreement, which will list the CILEX Professional Qualification stages the training provider is approved to deliver. On receipt of a signed copy from the training provider, CILEX will send an approval certificate and copies of the CILEX Approved Training Provider logo with brand guidelines. The training provider may begin marketing itself as a CILEX Approved Training Provider.

The approval agreement will have an expiry date which is 3 years from the original approval date (when the training provider has completed their third year of delivery). The training provider will remain approved by CILEX (during this three-year period) subject to remaining compliant with the approval 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.

Prior to the third-year anniversary (of CILEX Approval being granted), CILEX will contact the training provider and provide them with details concerning their application for re-approval. The approval process will commence, and a re-approval fee shall become payable (as detailed in the table on page 6).

When the re-approval process has been completed, the annual monitoring and declaration process shall commence (for the following three years), with an application for re-approval commencing again after three years has elapsed.

## 2. Approval granted subject to mandatory condition(s), incorporated with a quality improvement plan

The CILEX Accreditation Team will notify all relevant areas of the CILEX Directorate and provide them with details regarding the training provider's attainment of CPQ Approval.

The CILEX Account Manager and CILEX Head of Publishing will arrange meetings with the training provider and discuss the support and access to materials / literature, which will be provided going forward. The CILEX Head of Publishing will work with the training provider and support them with the submission of the CPQ specific evidence by the agreed deadline.

All evidence submissions will be made directly to the CILEX Head of Publishing, and communications regarding this matter will be relayed to the CILEX Accreditation Team.

The CILEX Accreditation Team will send an e-mail with a copy of its CPQ Approval Report, confirmation of the outstanding CPQ specific evidence / deadline, and a draft of the training provider's details which will be added to the CILEX website.

The approval report will set out the area(s) of a standard(s), or whole standard(s) which has not been met (and require action), and the associated mandatory condition(s), to which the approval is subject.

Accompanying the approval report will be a CILEX Quality Improvement Plan. This document will confirm the standard number and wording, the linked mandatory condition(s), the area of the standard which requires improvement, and the deadline date by which the associated action(s) must be completed (and evidence submitted).

The quality improvement plan will also include sections to be completed by the training provider, detailing the action decided upon (by the training provider), together with justification to support the action. In addition, the training provider must also complete a further section, providing information and details of the evidence provided, which demonstrates how the training provider has met the required threshold level for that standard (or area of a standard).

**Conditions set and detailed in the CILEX Approval Report and Quality Improvement Plan are mandatory, and these must be evidenced and met before CILEX will grant approval. Similarly, it is the responsibility of the training provider to decide upon the necessary action(s) and evidence required to meet the set condition(s).** CILEX will monitor the training provider's progression and achievement of meeting mandatory conditions by the set deadlines.

Once the training provider has submitted their completed quality improvement plan with evidence, the submission will be reviewed by the CILEX Quality Panel members who conducted the CILEX Approval Visit. If appropriate, CILEX will approve the quality improvement plan submission and issue an updated CILEX Approval Report to the training provider. The updated report will confirm the previously set mandatory condition(s) have been met and approval is granted without condition(s).

The training provider will be sent a formal approval agreement, which will list the CILEX Professional Qualification stage(s) the training provider is approved to deliver. On receipt of a signed copy from the training provider, CILEX will send an approval certificate and copies of the CILEX Approved Training Provider logo with brand guidelines. The training provider may begin marketing itself as a CILEX Approved Training Provider.

The training provider will also receive all other necessary materials (separate to the items mentioned above), to assist with the delivery of their CILEX provision.

The approval agreement will have an expiry date which is 3 years from the original approval date (when the training provider has completed their third year of delivery). The training provider will remain approved by CILEX (during this three-year period) subject to remaining compliant with the approval 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.

Prior to the third-year anniversary (of CILEX Approval being granted), CILEX will contact the training provider and provide them with details concerning their application for re-approval. The approval process will commence, and a re-approval fee shall become payable (as detailed in the table on page 6)

When the re-approval process has been completed, the annual monitoring and declaration process shall commence (for the following three years), with an application for re-approval commencing again after three years has elapsed.

### 3. Approval refused

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

If the training provider wishes to appeal against the Quality Approval 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 approval 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 all evidence submitted to demonstrate how the training provider believes it meets the approval standards. Please note that CILEX reserves the right not to accept re-applications.

## 2.5 Training Providers accepting trainees from inside and outside of the European Economic Area

From 1st January 2021, the Government rolled out new rules relating to all European Union students, starting any educational a course in the United Kingdom.

Students are obliged to check if they need a UK visa, as they will not be eligible for the European Union Settlement Scheme (unless they were living in the UK before 31<sup>st</sup> December 2020).

The Government website confirms the following guidelines Studying in the UK: guidance for EU students - GOV.UK (www.gov.uk):

*You can apply for a **Student visa** if you are over 16 and plan to start a course with a provider who can act as a licensed student sponsor.*

*You may be eligible for a **Child Student visa** instead if you're 16 or 17 and want to study at an independent school in UK.*

*You do not need a visa to study in the UK for courses up to 6 months if you are **studying at an accredited institution**. This includes English language courses.*

*You can apply for a **Short-term study visa** if you're studying on an English language course which lasts up to 11 months.*

All educational establishments accepting trainees 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 trainees 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 trainees 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.

## Section 3: Annual Monitoring and Declaration

### 3.1 Procedures for maintaining approval

To be assured that CILEX Approved Training Providers continue to comply with the CILEX Training Provider Approval 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 monitoring and declaration process, which is set out in Figure 2 below, enables the training provider to confirm what remains unchanged since approval or the previous year's declaration, provide updates on changes that have been made since approval or the previous year's declaration (with appropriate supporting evidence such as new policies) and amend any contact details that have changed since the previous year.

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 approval was granted. Should it become apparent that this is not the case, CILEX reserves the right to suspend and/or withdraw approval.

#### Annual monitoring and declaration process – figure 2

**1. CILEX notifies the training provider about the annual monitoring and declaration form and annual renewal fee invoice**

CILEX sends the training provider an e-mail advising them that an annual monitoring and declaration form, and an invoice for their annual monitoring fee has been uploaded to their page on the CILEX Training Provider Hub



**2. The training provider completes the annual monitoring and declaration form and pays their annual monitoring fee**

The training provider pays their annual monitoring fee and completes their annual monitoring and declaration form on the CILEX Training Provider Hub. They will also upload any supporting documentation.



**3. The training provider confirms any changes which have been made since approval was granted, or the previous annual monitoring and declaration form was submitted**

Where an element has been updated (e.g., a new policy or procedure) the training provider writes 'No' in the 'Evidence still Current' column, includes the name of the new document(s) in the 'New Evidence' column and provides copies of the new document(s).



#### **4. Confirmation of contact details and stages**

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



#### **5. CILEX Professional Qualification (stage) confirmation**

The training provider checks the CILEx Professional Qualification stage(s) it is offering during the current year and adds the ones it for which it intends to seek approval during the following year.



#### **6. Complaint's data**

The training provider confirms how many complaints it has received from trainees over the past 12 months, in relation to its CILEx provision, and provides brief details.



#### **7. Third party details**

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



#### **8. The annual monitoring and declaration form is signed and uploaded**

The CEO/Head of the Training Provider checks the details provided on the annual monitoring and declaration form, signing it to confirm it is accurate, and the form together with any documents are uploaded to the CILEX Training Provider Hub.

**9. CILEX reviews the submitted annual monitoring and declaration form, and document(s)**

- a) CILEX reviews the submitted documentation and determines if any area(s) of the training Provider's provision require improvement.
- b) Alternatively, if there are areas of concern or significant change, a visit will be arranged.

**10. CILEX issues the training provider's one-year quality improvement plan**

CILEX will e-mail the training provider and attached a copy of their one-year improvement plan.

**10. CILEX conducts an inspection visit or intervention visit**

Depending on the circumstances, CILEX will conduct either an inspection visit or an intervention visit.

**11. One-year quality improvement plan evidence**

The training provider will be responsible for completing and evidencing the required areas of improvement on their plan.

**11. Action plan**

Depending on the outcome of the inspection/intervention visit, CILEX May issue an action plan to the training provider. This will detail the required actions and deadlines

**12. CILEX signs off the quality improvement plan/action plan**

If CILEX is satisfied the required information/evidence has been received, the plan will be signed-off and this will be confirmed in writing.

**12. Outcome of Action Plan**

If CILEX is not satisfied with the training providers response to their action plan, the process will commence to suspend/withdraw the training provider from CILEX Approval.

**13. Three-year anniversary (from CILEX Approval being granted)**

The CILEX Re-approval process will commence, and the training provider will apply for CILEX Approval.

## Section 4: Approved training providers seeking to deliver new stages

Following CILEX approval of a training provider application, the training provider will be approved to deliver specified CILEX Professional Qualification stages. Training providers seeking to deliver additional stages of the qualification (for which they are not currently approved), are required to follow the processes set out below. This section also addresses the requirements for training providers wishing to deliver CILEX Professional Qualification stages from a satellite site not considered as part of the original application.

In the first instance, training providers should contact the CILEX Approval Officer, to discuss the process for adding satellite sites and/or delivering other CILEX Professional Qualification stages.

CILEX has in place a risk-based management system to monitor approved training providers. A new satellite site extending the range of CILEX Professional Qualification stages the training provider is approved 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 for an additional CILEX Professional Qualification stage(s)

Once a training provider has been approved to deliver a CILEX Professional Qualification stage(s), it may wish to apply to deliver a further stage(s). Training providers currently approved to deliver a particular stage(s) as part of the CILEX Professional Qualification, will need to consider how they will build the capacity and capability to deliver additional stage(s).

To apply, a shortened application may be submitted. Having already assessed the training provider's overall approach to delivering a CILEX Professional Qualification stage(s), CILEX will focus solely on the following standards, which relate to the stage specific content:

<b>Standard Number</b>	<b>Standard Title</b>	<b>Standard Wording</b>
6	Programme Design and Structure	The course structure must support trainees to enable them to achieve the qualification learning outcomes.
7	Programme Planning and Management	Courses must be planned and managed through transparent processes which must show who is responsible for what at each stage.
8	Teaching and Learning	Teaching and learning must support progressive trainee development



## 4.2 Satellite sites

Approved training providers that wish to apply for additional satellite sites should review the CILEX Professional Qualification Training Provider Approval Standards to ascertain how all relevant requirements are met at the satellite site they are looking to add. Approved training providers should then contact the CILEX Accreditation department to meet and discuss with CILEX how the new satellite site might be included within their existing approval.

During this meeting it will be determined what evidence will be required for submission to CILEX, and whether a virtual or physical visit by the CILEX Quality Panel Chair to the satellite site will be required.

If a visit is required, this will be undertaken by a CILEX Accreditation team member and a CILEX Quality Panel Chair. The training provider must be able to demonstrate that the satellite operates to the same quality standards, offers the same trainee experience, and poses no greater risk to CILEX than the training provider upon which the original approval decision was based.

The associated fees for these processes are listed on page 6.

## Section 5: The CILEX Approved Training Provider Agreement and ongoing requirements for Approved Training Providers

All approved training providers are required to comply fully with the CILEX Approved Training Provider Agreement which incorporates the ongoing requirements to which all approved training providers are subject. The regulations, handbooks, requirements, policies, procedures, and guidance which govern the delivery of CILEX Professional Qualification stage(s) are available on the CILEX website ([www.CILEX.org.uk](http://www.CILEX.org.uk)).

**It is a mandatory requirement 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 Approval Agreement. However, it is important to remember that such changes are not limited to the referenced points in the agreement.**

All approved 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 Professional Qualification stage(s). 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 twenty-five 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 Professional Qualification stage(s) delivery. In meeting the requirements, CILEX can be confident that its approved training providers continue to comply with CILEX requirements and regulatory obligations.

## Section 6: CILEX Approved Training Provider Risk Monitoring

### 6.1 CILEX risk-based monitoring approach of approved training providers

CILEX Approved Training Providers play an important role in CILEX Professional Qualification delivery and assessment. Maintaining quality, consistency and high standards of delivery and assessment is essential to the success of the CILEX Professional Qualification and in ensuring CILEX can comply with the General/Standard Conditions of Recognition.

CILEX approach to the risk monitoring of approved training providers aims to identify good practice and that which could undermine a training provider's compliance with the Approved 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 high, moderate, and minor. 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 their quality improvement plan
- 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 approval of a training provider are met. CILEX may also need to visit an approved training provider in the event of an investigation into training provider malpractice or maladministration, or trainee 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, Approval 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. Please refer to figure 2.

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

CILEX records issues, incidents and complaints relating to approved 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 stages, interests of CILEX Trainees 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 act where necessary.

## 6.2 Risk prevention and intervention

A CILEX Quality Improvement Plan has been mentioned in previous sections. This plan may be issued by CILEX to the training provider when CILEX Approval is granted, or as part of the Annual Monitoring and Declaration process. Alternatively, if the training provider has met the required threshold level in relation to all CILEX Professional Qualification Standards, a Quality Improvement Plan will not be necessary.

The purposes of the CILEX Quality Improvement Plan are (but are not limited to):

- To identify a standard or area(s) within a standard (relating to a training provider's CILEX provision) which do not reach the threshold level required. This may be linked to the CILEX Quality Panel's decision to grant approval, or the CILEX Annual Monitoring and Declaration process.
- To ensure the CILEX Approved Training Provider can deliver high-quality learning programmes.
- To ensure the CILEX Approved Training Provider provides trainees with a consistently high-quality learning experience.
- To encourage an enhanced partnership between CILEX and the CILEX Approved Training Provider.
- To promote a collaborative approach (between CILEX and the CILEX Approved Training Provider), ensuring the CILEX Approved Training Provider Standards are consistently met and maintained.

CILEX aims to help training providers retain their approved 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. **See figure 2.**

In the event 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 Approved Training Provider Sanctions are set out in Annex 1.

If a significant incident is identified, for example, where the interests of the training provider's Trainees 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 Approved Training Provider status.

## 6.3 Suspension or withdrawal of CILEX Approved Training Provider status

Suspension or withdrawal of CILEX Approved 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 Professional Qualification stage(s), use CILEX materials, refer to or advertise the CILEX Professional Qualification stage(s), use CILEX IT systems and use the CILEX Approved 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 Approved Training Provider status must be returned immediately to CILEX.

Annex 2 sets out the CILEX Approved Training Provider Withdrawal Policy.

## 6.4 Appeals process for CILEX Approved Training Providers

The CEO/Head of the Training Provider is entitled to appeal a decision to withdraw or suspend training provider approval which has been imposed on the training provider because of a risk-based intervention/investigation or malpractice/maladministration-based investigation except in cases whereby the withdrawal or suspension of approval 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 relevant CILEX Appeals Panel (against sanctions imposed) and 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 comply fully with the CILEX Approved Training Provider Agreement including ongoing requirements and CILEX policies and procedures for the CILEX Professional Qualification stage(s) the training provider is approved 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 which may otherwise comprise an Adverse Effect. Training providers are required to promptly notify CILEX in the event of the occurrence or 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 trainee assessments (including examination scripts, trainee portfolios)
- Insufficient resources to deliver CILEX Professional Qualification stage(s) in accordance with CILEX requirements
- Incidents 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 trainees affected
- the actual or potential impact on trainees
- 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 the CILEX Professional Qualification

If a training provider decides not to continue to deliver the CILEX Professional Qualification stage(s), the training provider representative must contact the CILEX Accreditation Manager immediately. CILEX is keen to assist its training providers in remaining approved 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 Professional Qualification stage(s), CILEX requires the training provider to give due consideration to protecting the interests of the training provider's CILEX Trainees.

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

Annex 2: CILEX Approved 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 Professional Qualification stage(s).

## Section 9: CILEX Responsibilities to Approved Training Providers

To assist approved training providers to deliver CILEX stages of learning effectively CILEX will commit to the following:

- Set-out all the requirements with which the training provider must comply to continue to deliver CILEX Professional Qualification stage(s). These requirements can be found within the Approved Training Provider Agreement, the Approved 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 Professional Qualification stage(s) 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 Trainees where the training provider withdraws from the delivery of the CILEX Professional Qualification stage(s).
- Publish its fees for CILEX approval.



## Section 10: Further Information

### 10.1 CILEX Policies and Procedures

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 Professional Qualification stage 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 always treats its customers with dignity and respect. As an Awarding Organisation, CILEX will ensure that its CILEX Professional Qualification stage(s), its standards for approved 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 approved 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 approved training provider status where an allegation of training provider malpractice threatens the interests of trainees, the integrity of the qualification, CILEX reputation or CILEX compliance with regulatory requirements.

### 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.

### 10.6 CILEX Commitment to Customer Service

CILEX is committed to providing its approved training providers and trainees 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 always comply 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 Approved Training Provider logo when it has been granted approved training provider status. Approved training providers must use the logo in accordance with the CILEX Logo Usage Policy and Guidelines. Any misuse of the CILEX Approved 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)

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

## Section 12: CILEX Contacts

All applications for CILEX training provider approval should be submitted to the CILEX Accreditation Team via the CILEX Training Provider Hub. If you need help in accessing the relevant information from the CILEX website or have queries on any aspect of CILEX training provider approval, 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 approval standards</li> <li>• Training provider approval process</li> <li>• Risk profiling</li> <li>• Risk-based monitoring</li> <li>• Quality assurance</li> <li>• Quality Improvement Plans</li> <li>• Malpractice and maladministration</li> <li>• Compliance with the Conditions of Recognition</li> </ul>
<p><b>Business Development</b></p> <p>Accounts Manager E: <a href="mailto:martin.petch@CILEX.org.uk">martin.petch@CILEX.org.uk</a> M: 07833 496118</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>Customer Service Team</b></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 approved training provider queries</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 Approved Training Provider Sanctions Policy
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<i>Policy name</i>	CILEX Approved Training Provider Sanctions Policy
<i>Date of Issue</i>	2 January 2018
<i>Date reviewed</i>	14 September 2020
<i>Next review date</i>	14 September 2023

### Purpose

1. CILEX has a responsibility to protect the integrity of CILEX qualifications, the interests of its Trainees and CILEX's reputation.
2. CILEX Approved Training Providers and Approved Training Provider staff must act in accordance with the CILEX Approved Training Provider agreement, comply with the CILEX approval standards and the CILEX rules and regulations governing the delivery and assessment of the CILEX Professional qualification.
3. Trainees taking the CILEX Professional qualification must comply with the rules and regulations governing the CILEX Professional qualification and assessments.
4. The purpose of this policy is to set out the principles governing CILEX's approach to the implementation of sanctions on trainees, training providers and training provider staff. These principles ensure that sanctions are decided fairly, applied consistently and transparently, and that adverse effects are prevented or mitigated.

### Scope

5. This policy applies to CILEX Trainees, Heads of Training Providers, Approved Training Provider staff and associated contractors, CILEX staff and assessors and other CILEX contractors involved in the qualification and/or assessment delivery.

### Definitions

6. **Sanction:** Sanctions are the penalties applied by CILEX to training providers, training provider staff or trainees due to non-compliance with the CILEX Approval standards, CILEX Training Provider agreement and/or the rules and requirements governing the delivery and/or assessment of the CILEX Professional qualification.

7. **Adverse effect:** An adverse effect is defined by the regulators as follows:  
An act, omission, event, incident, or circumstance has an Adverse Effect if it –
- (a) gives rise to prejudice to Trainees or potential Trainees, or
  - (b) adversely affects –
    - (i) the ability of the awarding organisation to undertake the development, delivery, or award of the qualification in accordance with regulatory requirements,
    - (ii) the standards of qualification which the awarding organisation makes available or proposes to make available, or
    - (iii) public confidence in the qualification.

### **Purpose of sanctions**

8. Generally, sanctions may be imposed to
- minimise risks to the integrity of CILEX qualifications, examinations, and assessments.
  - prevent or mitigate an adverse effect.
  - ensure that there is no benefit from breaching CILEX regulations or requirements.
  - deter others from breaching CILEX regulations.
  - maintain confidence in the CILEX Professional qualification.
9. Training Provider sanctions may be applied to a CILEX Approved Training Provider to address performance issues, failings in relation to delivery and/or assessment of CILEX Professional qualification, suspected or proven malpractice, maladministration, non-compliance with the CILEX Approved Training Provider agreement and/or CILEX Approval standards.
10. Training Provider staff sanctions may be applied to a member of staff at an Approved Training Provider to address failings by the Training Provider staff in relation to delivery and/or assessment of the CILEX Professional qualification, malpractice, and maladministration.
11. Trainee sanctions may be applied to a Trainee who has breached CILEX rules or regulations, to mitigate the impact breach, ensure that a Trainee does not gain an advantage and/or deter other Trainees from breaching CILEX rules and regulations.

### **Implementation of sanctions**

12. CILEX imposes sanctions commensurate with the gravity of the issue, incident, non-compliance, malpractice, or maladministration identified in accordance with the relevant criteria set out in Appendix 1 (Training Provider Sanctions), Appendix 2 (Trainee sanctions), Appendix 3 (Training Provider Staff Sanctions), as applicable. The criteria are not exhaustive, and each case is considered on its own merits.
13. In some circumstances, sanctions may be imposed to facilitate the investigation of a suspected incident of malpractice or maladministration, or to mitigate a risk to the integrity of a the CILEX Professional qualification whilst an incident is being investigated.
14. Training Provider sanctions may be imposed at qualification or Training Provider level.
15. Sanctions may be applied flexibly if mitigating or aggravating circumstances are identified.

16. When deciding Training Provider sanctions CILEX will consider the impact on Trainees who may be affected through no fault of their own. Where necessary, CILEX will seek to support Trainees affected, for example, by identifying alternative training providers to continue studying the CILEX Professional qualification.
17. CILEX will advise training providers of the corrective action required to rectify the issues which led to the imposition of a sanction and the timeline for completion.

### **Roles and Responsibilities**

18. Trainee sanctions may be decided by the appropriate CILEX panel, CILEX Head of Awarding Organisation or a Manager nominated by the CILEX Head of Awarding Organisation.
19. Training Provider sanctions and Training Provider staff sanctions may be decided by the relevant CILEX panel, the Head of Awarding Organisation and CILEX Officers responsible for overseeing Training Provider monitoring and quality assurance or Training Provider investigations.

### **Informing training providers**

20. If a sanction is imposed on a Training Provider or a member of Training Provider staff, the Head of Training Provider will be provided with the following information:
  - the sanction to be applied, including, where appropriate, the qualification / modules to which the sanction applies.
  - the reasons underpinning the decision to apply the sanction.
  - the corrective action which must be taken, as applicable.
  - the timeline for the completion of the corrective action.
21. The Head of the Training Provider will be responsible for ensuring compliance with the sanction/s and any associated actions.
22. The Head of Centre will normally be advised about sanctions imposed on the training providers Trainees.

### **Reviewing training providers sanctions**

23. The CILEX Accreditation team is responsible for monitoring the correct action taken by a Training Provider to address the issues which informed the implementation of a sanction.
24. Sanctions may be reduced or lifted when the corrective action has been completed, subject to CILEX being satisfied that the level of risk is reduced, except for a Level 5 sanction (withdrawal of approval). CILEX may permit a Training Provider issued a Level 5 sanction to reapply for approval following a minimum period of 12 months since the implementation of the sanction, however, CILEX reserves the right to impose a longer timeframe or to not accept an application for re-approval.
25. Where corrective measures are not put in place in accordance with CILEX requirements and timeline, a higher-level sanction may be applied.
26. Where a sanction is imposed whilst an incident of suspected malpractice or maladministration is being investigated, the sanction may be removed at the conclusion of the investigation subject to the investigation findings.

## **Appeals**

27. Training providers, training provider staff and trainees may appeal against sanctions imposed by the relevant CILEX panel in relation to an incident of malpractice or maladministration. Training providers, training provider staff or trainees should refer to the CILEX Appeals Policy and the CILEX Malpractice and Maladministration Appeals Procedure.
28. Sanctions imposed by CILEX for other reasons cannot be appealed. In such circumstances centres or Trainees may wish to consider making a complaint in accordance with the CILEX Complaints Policy.

## **Notification of other awarding organisations and CILEX regulators**

29. CILEX reserves the right to notify the relevant regulators where an incident which led to the imposition of a sanction could lead to an adverse effect.
30. CILEX reserves the right to inform other awarding organisations where CILEX has reasonable cause to believe that an incident which led to the imposition of a sanction could affect another awarding organisation.

## **Record keeping**

31. All records and evidence applicable to the CILEX Sanctions Policy will be retained for three years.

## **Policy review arrangements**

32. This policy is subject to a three-year review cycle. However, the policy may be reviewed more frequently to address regulatory changes, operational feedback or concerns brought to the attention of CILEX to ensure the policy remains fit for purpose.
33. This policy is also reviewed as part of CILEX ongoing quality improvement monitoring.



## Appendix 1 – Approved Training Provider Sanctions Criteria

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 level	Sanction	Criteria
Level 1	Void Trainee assessment (including examination) results	Integrity of an assessment/examination has been compromised Integrity of assessment decisions compromised
Level 2	Temporary suspension of Trainee registration and/or certification for the CILEX Professional qualification	Failure or suspected failure to comply with the CILEX Approved Training Provider Standards, approved Training Provider agreement and/or qualification requirements for the CILEX Professional qualification which could or has: <ul style="list-style-type: none"> <li>led to an adverse effect</li> <li>compromised the integrity or standards of a the CILEX Professional qualification</li> </ul> Non-payment of invoices
Level 3	Temporary suspension of Trainee registration and/or certification for the CILEX Professional qualification	Failure or suspected failure to comply with the CILEX Approved Training Provider Standards, Approved Training Provider agreement and/or qualification requirements which could have or has: <ul style="list-style-type: none"> <li>led to an adverse effect</li> <li>compromised the integrity or standards of the CILEX Professional qualification</li> </ul> Non-payment of invoices
Level 4	Withdrawal of approval of Training Provider to deliver the CILEX Professional qualification	Significant or repeated failure to comply with the CILEX Approved Training Provider Standards, Approved Training Provider agreement and/or qualification requirements for the CILEX Professional qualification which could have or has: <ul style="list-style-type: none"> <li>led to an adverse effect</li> <li>compromised the integrity or standards of the CILEX Professional qualification</li> </ul> Non-payment of invoices
Level 5	Withdrawal of CILEX Training Provider Approval status	Significant or repeated failure to comply with the CILEX Approved Training Provider Standards, Approved Training Provider Agreement and/or qualification requirements which could have or has: <ul style="list-style-type: none"> <li>led to an adverse effect</li> <li>compromised the integrity or standards of the CILEX Professional qualification</li> <li>adversely impacted on CILEX’s reputation</li> </ul> Non-payment of invoices

## Appendix 2 – Trainee sanctions

The Trainee sanctions criteria inform the level of sanction imposed on a Trainee. The criteria are **not exhaustive** but provide a benchmark against which individual cases are considered.

Sanction	Criteria
Written warning	<p><b>Minor violations which do not adversely impact the integrity of an examination/assessment, for example:</b></p> <ul style="list-style-type: none"> <li>■ Mobile telephone makes noise for a short period during an examination but is not in Trainee’s possession.</li> <li>■ Refusal to adhere to invigilator’s/supervisor’s instructions of a minor nature for an assessment undertaken under controlled (invigilated or supervised) conditions which does not disrupt other candidates or compromise the assessment.</li> <li>■ Failing to keep a Trainee’s own work secure which does not have an adverse impact on the integrity of the assessment.</li> </ul>
Assessment result declared void	<p><b>Significant violations which compromise, attempt to compromise, or may compromise the process of assessment, the integrity of the qualification or the validity of a result or certificate, and/or damage the reputation or credibility of CILEX, for example:</b></p> <ul style="list-style-type: none"> <li>■ Failing to comply with ID check requirements</li> <li>■ Failing to comply with requirements to ensure the integrity of an examination/assessment</li> <li>■ Engaging in activities which undermine the integrity of the assessment and/or qualification.</li> <li>■ Unprofessional, disruptive, or non-compliant behavior</li> <li>■ Having non-permitted materials/devices or similar in an examination</li> <li>■ Producing or attempting to produce work for an exam/assessment which is not authentic</li> <li>■ Attempting to breach or breaching the security or confidentiality of confidential assessment materials</li> <li>■ Altering or interfering with CILEX assessment documentation, for example, examination permits, key code slips, results notifications, or certificates.</li> </ul>

### Appendix 3 – Training Provider Staff Sanctions

Sanction	Criteria
Temporary suspension from involvement delivery of the CILEX Professional qualification	<ul style="list-style-type: none"><li>■ Suspected involvement in malpractice incident</li><li>■ Failure to meet CILEX requirements in relation to assessment or quality assurance of the CILEX Professional qualification</li><li>■ Failure to adhere to CILEX invigilation rules and requirements</li></ul>
Permanent removal from involvement delivery of the CILEX Professional qualification	<ul style="list-style-type: none"><li>■ Repeated failure to meet CILEX requirements in relation to assessment or quality assurance of CILEX qualifications</li><li>■ Repeated failure to comply with CILEX invigilation rules and requirements</li><li>■ Compromised CILEX confidential assessment materials</li><li>■ Committed malpractice</li></ul>

## Annex 2

### CILEX Approved Training Provider Withdrawal Policy

<i>Policy name</i>	CILEX Approved Training Provider Withdrawal Policy
<i>Policy reference</i>	PP000000
<i>Date of Issue</i>	8 September 2017
<i>Date reviewed</i>	14 September 2020
<i>Next review date</i>	14 September 2023

#### Purpose

1. The purpose of this document is to set out a consistent and transparent approach to the withdrawal of the CILEX Professional qualification delivery by approved training providers ensuring CILEX Trainee needs are met so that they not disadvantaged by the withdrawal.
2. The policy relates to both voluntary withdrawal and required withdrawal from delivery of the CILEX Professional qualification.

#### Scope

3. This policy applies to approved training providers and CILEX Staff responsible for the approval of training providers.

#### Definition

4. **Approved Training Provider**  
An Approved Training Provider is an organisation which has completed the CILEX approval process and demonstrated that it meets the required standards to be awarded approval status.
5. **Withdrawal**  
Withdrawal is understood to mean the complete cessation of delivery of the CILEX Professional qualification. It should not be confused with 'suspension' of delivery which is temporary and often refers to certain targeted aspects of an Approved Training Provider's delivery of the CILEX Professional qualification. The full range of sanctions applicable to approved training providers prior to being required to withdraw by CILEX is set out in the CILEX Approved Training Provider Sanctions.
6. **Voluntary withdrawal**

An Approved Training Provider voluntarily withdraws from the delivery of CILEX Professional qualification when it freely decides that it no longer wishes to deliver the CILEX Professional qualification.

**7. Required withdrawal**

This is where CILEX removes the approval status from an Approved Training Provider and requires them to cease delivery of the CILEX Professional qualification.

**Failure to comply with the CILEX Approved Training Provider Withdrawal Policy**

8. If a Training Provider fails to comply with the CILEX Approved Training Provider Withdrawal Policy, irrespective of whether the withdrawal was voluntary or required by CILEX, CILEX will act accordingly to safeguard the interests of Trainees, ensuring CILEX compliance with regulatory requirements.

9. CILEX may also act against the Approved Training Provider in accordance with the Approved 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 Trainees to facilitate their ongoing studies.
- Inform the regulatory authorities, where appropriate, of the Training Provider’s failure to comply with the CILEX Approved Training Provider Withdrawal Policy and Approved Training Provider Agreement and any associated issues.
- Post information on the CILEX website that the Training Provider is no longer approved, including any issues which have been identified.
- Initiate legal proceedings.

**Policy review arrangements**

10. This policy is subject to a three-year review cycle. However, the policy may be reviewed more frequently to address regulatory changes, operational feedback or concerns brought to the attention of CILEX to ensure the policy remains fit for purpose.

11. This policy is also reviewed as part of CILEX ongoing quality improvement monitoring.

Version History	
Version number	Overview of changes and reasons for changes
V01 September 2020	Review of changes for CILEX Professional Qualification (CPQ)

## **CILEX Approved Training Provider Withdrawal Procedure**

### **Introduction**

1. This procedure sets out the steps that must be taken by approved training providers if they either voluntarily withdraw from the delivery of the CILEX Professional qualification or are required by CILEX to withdraw from the delivery of the CILEX Professional qualification. It also identifies the steps CILEX must take in these circumstances.
2. This procedure assumes that when an Approved Training Provider either withdraws voluntarily, or is required by CILEX to do so, its CILEX Training Provider Approval status will be terminated at a date set by CILEX.

### **Scope**

3. This procedure applies to approved training providers withdrawing from the delivery of the CILEX Professional qualification, CILEX Staff responsible for the approval of training providers and all CILEX staff connected to the Approved Training Provider.

### **Voluntary Withdrawal**

4. In advance of a decision to withdraw from the delivery of the CILEX Professional qualification, the Head of the Training Provider should notify the CILEX Accreditation Officer of its possible intentions. CILEX is keen to understand and support approved training providers with the delivery of the qualification, and prior notification may enable CILEX to identify and offer solutions that mean withdrawal can be avoided.
5. Approved training providers are required to communicate with CILEX whilst making plans to withdraw from delivery voluntarily. Where an Approved Training Provider wishes to withdraw from delivery of the CILEX Professional qualification, then the process below must be followed:
  - (i) The Head of the Approved Training Provider must notify the CILEX Accreditation Officer by email as soon as the decision has been made.
  - (ii) The notification must give the reason(s) for withdrawal (this helps CILEX understand the decision) and include an Approved Training Provider Withdrawal Plan which addresses the following:
    - date of withdrawal - the date of withdrawal must consider the best interests of the Trainees already studying towards the CILEX Professional qualification and give sufficient notice for them to make alternative arrangements.
    - safeguarding Trainees' interests - give details of what the Approved Training Provider intends to do to ensure that Trainees affected and mid-way through the qualification will be supported to find alternative training providers.

- details of any outstanding actions that the Approved Training Provider needs to undertake for CILEX during the period preceding withdrawal and its plan for completion of these actions. For example, if an Approved 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 cease, at the point of withdrawal, using CILEX materials or the CILEX Approved Training Provider logo in any of its marketing/promotional activities.
- (iii) The Head of the Approved Training Provider must ensure that all materials are returned to CILEX via secure post and specify the date for their return.
- (iv) The Head of the Approved Training Provider must provide clear and accurate information about the withdrawal to Trainees who are likely to be affected by the withdrawal and ensure it meets any unreasonable financial burden incurred by affected Trainees caused by the withdrawal.
- (v) Approved training providers should note that where they have Trainees who will not be able to complete their studies with them, CILEX may be able to provide information and support to enable them to complete their programme of learning.

### **Required Withdrawal**

6. Approved 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 including required withdrawal set out in the CILEX Approved Training Provider Sanctions Policy.
7. 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.
8. Most Approved training providers facing risk-based intervention or malpractice/maladministration investigations will face sanctions short of permanent removal of training provider approval status. However, in certain circumstances, as identified in the CILEX Approved Training Provider Sanctions, an approved centre can be required by CILEX to withdraw from its delivery of the CILEX Professional qualification.
9. Where an Approved Training Provider is required by CILEX to withdraw, CILEX will inform the training provider in writing of its decision to remove approval. CILEX will inform the training provider of its reasons for the decision and will state the date by which Approved Training Provider status will be removed. Where circumstances permit, CILEX will allow the Approved Training Provider time to prepare its withdrawal from the delivery of the CILEX Professional qualification.
10. CILEX expects the Approved Training Provider to withdraw appropriately, in accordance with the terms set out in the Approved Training Provider Agreement and in accordance with the following procedure:

- (i) CILEX will inform the Approved Training Provider in writing of its decision to remove Approved Training Provider status, the reasons for withdrawal and the date by which this becomes effective.
- (ii) The Head of the Approved Training Provider must notify the CILEX Accreditation Officer in writing by email confirming receipt of and its compliance with CILEX's decision.
- (iii) The written confirmation must address the following key responsibilities:
  - confirm that the Approved Training Provider will comply with the required date of removal of approval status, and any issues that need addressing.
  - confirm that it will no longer use CILEX materials, IT systems, where appropriate, or the CILEX Approved Training Provider logo in any of its marketing/promotional activities, including on its website.
- (iv) CILEX will remove reference to the Approved Training Provider from its website and related information.

#### **Retention of data**

- 11. CILEX will maintain data relating to the Approved Training Provider for a period of three years.

#### **Procedure review arrangements**

- 12. This procedure is subject to a three-year review cycle. However, the procedure may be reviewed more frequently to address regulatory changes, operational feedback or concerns brought to the attention of CILEX to ensure the procedure remains fit for purpose.
- 13. This procedure is also reviewed as part of CILEX ongoing quality improvement monitoring.



## Annex 3

CILEX Advertising Principles for Approved Training Provider
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<i>Policy name</i>	CILEX Advertising Principles for Approved Training Providers
<i>Policy reference</i>	PP0041
<i>Date of Issue</i>	1 September 2017
<i>Date reviewed</i>	14 September 2020
<i>Next review date</i>	14 September 2023

### 1. Background

CILEX approves training providers to deliver the CILEX Professional qualification. All CILEX approved training providers must comply with the CILEX Approved Training Provider Requirements. CILEX trainees undertake the CILEX Professional qualification provided by CILEX Approved Training Providers. CILEX trainees choose an Approved Training Provider from the CILEX list of approved training providers.

### 2. Purpose

The purpose of this policy is to ensure that CILEX trainees are provided with accurate and honest information about the courses provided by CILEX Approved Training Providers in order that trainees can make informed choices when choosing an Approved Training Provider.

### 3. Advertising Principles

It is expected that approved training providers will act with integrity and not include unfounded or misleading claims in advertisements, marketing information, on websites or in other promotional materials.

CILEX applies the advertising principles set out below to protect CILEX trainees.

Advertising Principles:

- (i) Approved Training Provider advertising/marketing communications and information published on Approved Training Provider websites and other media channels relating to the content and delivery of the CILEX Professional qualification must
  - a. be legal, decent, honest, and truthful.
  - b. be prepared with a sense of responsibility to trainees.
  - c. not mislead trainees or be likely to mislead trainees.
  - d. respect the principles of fair competition generally accepted in business.

- (ii) When providing information on fees for the CILEX Professional qualification, approved training providers should ensure that information on the true cost of the qualification is provided and must not mislead by omission.

Examples of statements which may breach the above principles:

- Claims that the Training Provider's pass rate for an exam is significantly higher than the CILEX national pass rate when the Training Provider pass rate is based on a very small cohort of trainees. Training providers including pass rates in advertisements/promotional materials should set out the number of trainees upon which the pass rate is based i.e., 80% pass rate based on 40 trainees.
- Subjective claims that the Training Provider is the 'no 1', best, 'greatest' or 'largest' provider.
- Inaccurate pricing statements, whereby the price of the CILEX Professional qualification is higher than the price provided in the advertisement/marketing information/information on the Training Provider's website when all costs are considered.

#### **4. Approval Status**

Approval status enables a Training Provider to deliver the CILEX Professional qualification in accordance with the application approved by the CILEX Independent Quality Panel. Approval status must be in place prior to advertising the CILEX Professional qualification and recruiting of trainees to the programme.

#### **5. CILEX audit and monitoring activities**

CILEX carries out audit activities to monitor compliance with the CILEX Approved Training Provider Requirements. CILEX will act if it identifies any non-compliance with CILEX requirements, or risks to the effective delivery of CILEX Professional qualification, interests of CILEX Trainees and/or CILEX reputation. This includes reviewing the right to advertise and future Training Provider Approval status.