



Sanctions Policy

Sanctions Policy	
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Policy Owner	Compliance
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Approved by	Head of Regulation
Should be read in conjunction with:	
Relevant support material	

Review

This policy is reviewed by the quality and compliance team on an annual basis (unless changes are required due to an update or revision of legislation) and signed off by a member of the senior management team.

Previous updates

Review of the policy

Recent updates

Review of the policy

This policy details the sanctions Construction EPA Company (CEC) may impose if any End-point Assessment (EPA) requirements, as detailed in the assessment plan and CEC supporting materials and guidance materials, Education and Skills Funding Agency (ESFA)/ Department for Education (DfE) funding rules and Institute for Apprenticeships and Technical Education (IfATE)/ SkillsEngland have not been met (non-compliance).

CEC has a responsibility to ensure that EPA is conducted in a manner which is valid, reliable, comparable, manageable and minimise bias, irrespective of the employer, geographic spread and range of technical experts participating in the EPA.

This policy is for employers, training providers, technical experts and CEC experts who are involved in the scheduling and delivery and audit of EPA activities.

Responsibilities

It is important that those participating in the delivery of EPA are fully aware of the contents of this policy and the possible implications should there be a failure to comply.

CEC will formally investigate any incident that may lead to a potential sanction and have the right to withhold investigation information / notification to employer/provider/apprentice(s) until conclusion of the investigation. On conclusion of the formal investigation details will be shared with the accused along with the sanction outcome and associated actions to be taken.

Approach to Sanctions

There are a range of sanctions that can be imposed. If required, these will be imposed depending on the seriousness of the situation, the level and track-record of non-compliance and the risk to the interests of the apprentice(s), the integrity of assessment and/ or any effects on the public confidence in CEC's services offered.

CEC aims to ensure that the application of sanctions is made only when absolutely necessary, to protect the integrity of EPA. We will work with employers, training providers and technical experts to prevent situations arising that would warrant a sanction being imposed.

Some examples of when a sanction may be imposed are (this is not a definitive list):

- Failed invigilation checks and/ or follow up actions not adopted
- Proven collusion
- Suspected or proven cases of maladministration/ malpractice which are being investigated
- Falsification of apprenticeship data

Imposing Sanctions

CEC will ensure that there is clear evidence of non-compliance and/ or a sufficient rationale before determining any sanction to be imposed.

CEC will never impose sanctions without providing the accused an opportunity to address the area of non-compliance.

Should sanctions be unavoidable, CEC will take all reasonable steps to protect the interests of any apprentice(s).

Level 1 Sanctions



- Additional audit of EPA activities at the next opportunity (apprentice(s)/ cohort)/ spot checks (these may be unannounced)
 - This will incur an additional charge by CEC
- Additional sampling during EPA organisation quality assurance
 - This will incur an additional charge by CEC
- Failure of assessment
 - This will incur an additional charge by CEC for resitting the assessment
- Delay to the delivery of EPA activities until further evidence has been provided confirming requirements have been met
- Other action planning with follow up

Level 2 Sanctions

- Prevention of further apprentice registrations/gateways for EPA
- Relocation of EPA activities (current facilities inadequate for quality of EPA delivery)

Level 3 Sanctions

- Delay / withhold the release of results/ certification
- Removal of delivery of EPA activities

Level 4 Sanctions

- Sanctions reported to the IfATE / Skills England/ DfE/ ESFA/ Ofqual (whomever should be deemed applicable)
- Event notification to Ofqual/ or other external quality assurer
- Removal of the employer/provider from the relevant standard and / or termination of contractual agreement

Disagreements

If there is a disagreement with the imposed sanction, the accused can make a compliant (in accordance with the CEC complaints policy) or appeal (in accordance with the CEC appeals policy).

Removing Sanctions

In all cases where we impose a sanction, the accused will be provided with an action plan or action points which must be completed to the satisfaction of CEC before we review the removal of any sanction.

It is important to note that the removal of sanctions may also be subject to external factors outside the control of CEC (for example IfATE, DfE, Ofqual, ESFA), however CEC will inform employers/providers where this is the case and will work to support in resolving the situation.



Activities CEC takes to reduce the risk of sanctions

In order to ensure consistency and minimise the risk of sanctions being imposed, CEC:

- Provide advice and support on the interpretation of the published Standard End-point Assessment Plan
- Ensure no conflicts of interest are apparent
- Provide guidance on gateway requirements for all Standards
- Provide all grading documentation and associated guidance
- Produce relevant EPA materials and tools
- Monitor results of apprentices across different Standards
- Conduct invigilation checks where tests are invigilated by providers
- Carry out Quality Assurance checks across all Assessors in line with our Quality Strategy and Sampling Policy
- Sample assessment decisions and carry out standardisation events for all Standards
- Carry out checks on evidence and apprentice information