



Training Providers

IFA Accredited Training Provider Handbook

delivers talent
delivers business knowhow
delivers accountability

Welcome

Welcome to the Institute of Financial Accountants (IFA) and our Accredited Training Provider (ATP) Handbook.

Through-out this document, unless made specifically clear otherwise, the IFA shall mean the Institute of Financial Accountants (IFA) and its tax faculty, the Federation of Tax Advisers (FTA).

As an IFA ATP, a whole new level of support and expertise is available to you, helping you attract and support students, get the best from our learning materials and deliver effective training.

This handbook is for centres that deliver, or are looking to deliver IFA qualifications, and should be read in conjunction with the information that is on the student section of the website which can be found here <http://www.ifa.org.uk/students>

In return for your efforts in gaining accreditation, and for your continued commitment to upholding the IFA's requirements for ATPs, you can expect additional services and priority attention from our dedicated education team.

This includes:

- professionalism and commitment to IFA training
- management and administration of IFA programmes
- training and examination environments
- student development and support.

In offering IFA qualifications, we want to give you help to:

- deliver our qualifications effectively
- equip your students for IFA exams
- enhance your organisation's reputation within the business community.

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1. IFA

1.1 Introduction

The Institute of Financial Accountants (IFA) is an established, internationally recognised professional accountancy membership body, whose members work for small and medium enterprises (SMEs), or who run or work in small and medium accounting practices (SMPs) that advise SMEs.

We support over 9,000 members and students in the UK and worldwide with a programme of professional qualifications and education, as well as resources.

The IFA's role and purpose

Our **purpose** is to unite, represent and champion the professional interests of people working as financial accountants, finance managers and tax agents serving small and medium enterprises (SMEs) and accountancy practices (SMPs).

Our **role** is to develop individuals as professional financial accountants and managers, throughout the world, with talent, business know-how and accountability aimed at serving the public interest within small and medium size businesses. The IFA:

- **delivers talent** through the provision of a range of qualifications for aspiring and experienced finance professionals to meet the accounting needs of SMEs and SMPs.
- **delivers business-know** through continuing professional development (CPD) activities that meet IFAC requirements together with member benefits that help IFA members perform effectively day to day in SME businesses and in practice.
- **delivers accountability** through upholding the highest ethical and professional accountancy standards and by regulating the conduct, objectivity, competence and integrity of IFA members.

1.2 Our Credentials

- Full Member of IFAC, the International Federation of Accountants <http://www.ifac.org/> the global accounting standard-setter and regulator.
- Office of Qualifications and Examinations Regulation (“Ofqual”) the UK public body responsible for maintaining and monitoring standards for general and vocational qualifications and examinations formally recognises the IFA as an awarding body.
- Educational providers including UK universities for degree entry - the IFA qualification is taught by educational institutions around the world, by direct teaching or by distance learning.

- Other professional bodies - chartered accountancy bodies recognise the IFA qualification and allow exemptions from individual examination papers.
- Her Majesty's Revenue and Customs (HMRC) – UK based IFA members in practice are able to register as Tax Agents with HMRC, and prepare and submit tax returns on behalf of clients.
- HM Treasury and the Manx Government and the appropriate Channel Islands authorities - IFA is recognised by HM Treasury as Supervisory Authority under the Money Laundering Regulations.
- Banks, building societies and many other statutory bodies and national organisations recognise the IFA.

1.3 A Commitment To Excellence

Our vision and values

Our vision is for the IFA to be the leading international body for accountants working for small and medium enterprises (SMEs), or who run or work in small and medium accounting practices (SMPs) that advise SMEs.

We strive to be both a champion and a voice for SMEs and SMPs themselves, with business, government and regulators, and to act in the public interest.

IFA's Core Values	
Commitment to excellence	Maintaining high professional standards, respectful of all persons – equality and diversity; culture of outstanding customer service; setting example in best practice
Business focused	Being professional, commercial and strategically aware
Enterprising	Being innovative, forward thinking, prepared for the future, continuous improvement, promotionally aware, international in outlook
Ethical Standards	Upholding the ethical standards expected of a professional body including integrity, fairness and transparency, environmental responsibility, relevance and reliability

1.4 Customer Service Charter

The customer service charter sets out the high standard of service that IFA is committed to providing all of its stakeholders, and can be found here

http://www.ifa.org.uk/files/IFA_CUSTOMER_SERVICE_CHARTER.pdf

Customer services

If you have a query or require information please contact us:

Telephone: 01732 458080 (the Institute is open 9am-5pm Monday to Friday; voicemail is available outside these hours).

Email: education@ifa.org.uk

Institute of Financial Accountants
Burford House
44 London Road
Sevenoaks
Kent
TN13 1AS

As IFA is committed to providing a high standard of service and to dealing with everyone fairly and equally, we also understand that we may not always get it right and we will respond to any concerns you may have. We will do everything we can to sort out your concerns quickly and efficiently, in the first instance please speak to your normal IFA contact. If this does not resolve the matter, or if, in the unlikely situation you wish to make a complaint against IFA, information can be found here:

<http://www.ifa.org.uk/files/Complaints%20from%20members%20and%20the%20general%20public.pdf>

1.5 Code of Ethics

Acting in the public interest

The IFA is committed to upholding the highest ethical and professional standards, and promoting the conduct, objectivity, competence and integrity expected of professional accountants.

IFA's code of ethics sets out principles which students and members need to follow and can be found <http://www.ifa.org.uk/images/files/IFA%20Code%20of%20Ethics.pdf>

1.6 Data Protection

Privacy Policy - The IFA recognises that your privacy is important to you. The information you submit to IFA will be kept confidential and secure once received. Further information can be found here

<http://www.ifa.org.uk/cookies/>

1.7 Equality and Diversity

IFA Policy on Equality and Diversity

The IFA is committed to equality of opportunity in its employment, service delivery and practices. Our approach to equal opportunities can be found here

<http://www.ifa.org.uk/images/files/IFA%20equality%20and%20diversity%20policy%202013.pdf>

1.8 Our role as an Awarding Organisation

IFA is recognised by The Office of Qualifications and Examinations Regulation (Ofqual). As an Awarding Organisation, IFA must demonstrate compliance with the General Conditions of Recognition published by Ofqual. IFA is required to have in place a written and enforceable agreement with each of its ATPs for the delivery of the IFA regulated qualifications. It is essential that IFA's ATPs understand their responsibilities and take all reasonable steps to ensure that IFA is able to comply with the General Conditions of Recognition. This requirement forms part of the contract between IFA and ATPs. Further details of the General Conditions of Recognition and responsibilities of are available from the Ofqual website www.ofqual.gov.uk

2. Benefits of Becoming an IFA Accredited Training Provider (ATP)

- Marketing support – Use of the IFA logo and the term ‘IFA Accredited Training Provider’ for co-branded training, materials and facilities, and for displaying on your website or in digital and printed marketing materials
- Online priority - Listing of your organisation amongst fellow IFA accredited training providers on our website when students, potential students or employers search our database
- Market intelligence – Regular updates and e-bulletins from the IFA
- General support - Help from our efficient head- office support team on issues such as student registration, entry requirements, examinations, other qualifications, progression routes and marketing related topics.

2.1 Why become an IFA ATP?

Supporting you, supporting your students

Offering IFA qualifications will give you the opportunity to attract ambitious, talented students focused on qualifying as finance professionals

- Enhance your standing with SMEs: By offering IFA qualifications that are SME-specific, you’ll strengthen existing employer partnerships and your reputation as an educator with the local business community.

Meeting the highest educational standards

We ensure the syllabus of our qualifications is demanding but relevant, with expert objective external accreditation:

- Syllabus informed by extensive market research and on-going dialogue with employers and educators.
- Experienced, highly respected examiners, moderators and assessors, the majority of whom are professional qualified with years of experience setting and marking chartered exams.
- Exam administration and invigilation conducted against rigid criteria, overseen by the IFA Assessment & Quality Board (AQB).
- Accredited training providers that meet exacting IFA qualifying criteria (covering tutors, materials, learning environment and student support) and subject to regular review.
- IFA’s accreditation by Ofqual as an awarding organisation gives you reassurance about the IFA’s governance, expertise and quality assurance.

3. IFA ATP accreditation Processes

3.1 Accreditation

In order to become an Accredited Training Provider (ATP) for IFA qualifications, organisations must apply for accreditation for the IFA using the application form. Please contact the IFA at education@ifa.org.uk for an application form.

ATPs can be private training providers, professional institutions, colleges of further or higher education, private companies or any other organisation that has the infrastructure in place to support the delivery, assessment and internal quality assurance. The approval process includes the verification of the information that is supplied with the application, and an evaluation of whether or not the centre is able to provide resources to enable it to effectively and efficiently deliver the qualifications and comply with Ofqual's General Conditions of Recognition.

The fee must be paid in full before the centre's application can be processed. In the event that an application is rejected for any reason, an administration fee of £200 is non-refundable.

Please allow 28 days for an application to be processed.

IFA reserves the right to extend the timeframe if they have to contact the centre for further information.

Centres are accredited for a period of 3 years, subject to on-going compliance, and agree to provide IFA with updated information as detailed in the Centre Agreement and ATP Application form. The obligations are provided in Section 4.

3.2 Approval process

The approval process is set out in the table below:

Step 1	Submission of application to IFA together with appropriate fee
Step 2	IFA considers application and may either <ul style="list-style-type: none">• requests further information and/or• arranges site visit
Step 3	Receipt of further evidence requested to support application
Step 4	Site visit if considered appropriate
Step 5	Approval status conferred for 3 year period
Step 6	Ongoing annual quality monitoring

3.3. Use of the IFA ATP Logo

A specific variant of the new logo has now been provided for the private use of Accredited Training Providers only. It is available as a jpg file and also as higher resolution files for print.

Use is subject to the following conditions:

- This logo may only be used by current Accredited Training Providers of the Institute of Financial Accountants; other use may result in disciplinary proceedings.
- The logo may only be used in the form provided and the colours shown
- The logo may be shown at the top or the bottom of your headed notepaper, and on your business cards, never wider than 3cm (dimensions not to be changed).
- ATPs should always endeavour to use the most current version of the IFA logo on their stationery.
- The use of the IFA logo must not be used to imply approval by the IFA of other qualifications you may offer.

3.4 Monitoring

IFA takes a risk based approach to monitoring ATPs.

In line with the information submitted on application, updated periodically and on renewal, IFA will monitor and support centres in order to ensure that IFA complies with Ofqual's General Conditions of Recognition. If there are issues with non-compliance, IFA will work with that centre to achieve compliance.

Once the centre has demonstrated its ability to comply with the criteria for accreditation, IFA will move to a desk based monitoring process.

3.5 Sanctions

In supporting ATPs to operate within the Centre Agreement, IFA has a duty to protect the integrity of its qualifications and exams; sometimes it is necessary for IFA to take action to remedy deficiencies in the delivery of a qualification.

IFA will investigate all issues raised to determine if there is concern as to the ATP's ability to comply with the IFA's ATP requirements.

IFA encourages ATPs to resolve their own issues, where this is not possible, or where IFA requires further information this is requested from the ATP. IFA may agree action plans with the ATP.

Details of the sanctions policy and procedure is provided as Appendix 1.

3.5 Withdrawal

A centre is required to take all reasonable steps to protect the interests of learners in the case of any withdrawals by the centre (whether voluntary or not) from its role in delivering a qualification. If a centre can no longer offer IFA qualifications it must advise the IFA as soon as possible and should follow the IFA centre withdrawal policy provided as Appendix 2.

4. Obligations of the ATP

To be accredited by IFA to deliver the regulated qualifications, the ATP has contractual obligations relating to Ofqual's General Conditions of Recognition. Those conditions which relate specifically to ATPs address the following, the ATP must:

- take all reasonable steps to comply with any requests for information or documentation that IFA makes as soon as is practicable;
- assist IFA in carrying out any reasonable monitoring activities;
- assist Ofqual in any investigations made for the purposes of performing its functions;
- set out all the requirements with which the Centre must comply in order to continue to deliver the qualification;
- Ensure that at all times there are sufficient staff of the appropriate level of competence to deliver the qualifications;
- Ensure that at all times there are sufficient managerial and administrative staff to ensure the efficient delivery, assessment and administration of the IFA qualifications;
- Deliver the IFA qualifications in accordance with Equalities Law;
- Have in place and operate processes and procedures to handle student complaints and student appeals;
- Ensure that students are not disadvantaged in the event that the centre ceases to offer the IFA qualifications;
- require the Centre to operate a complaints handling procedure or appeals process for the benefit of Learners;
- set out any Moderation processes that the awarding organisation will undertake or that will be undertaken on its behalf;
- specify a process to be followed in any withdrawal of the Centre (whether voluntary or not) from its role in delivering a qualification, and;
- require the Centre to take all reasonable steps to protect the interests of Learners in the case of such a withdrawal.

5. Delivering the IFA qualifications

5.1 Student entry onto the programmes

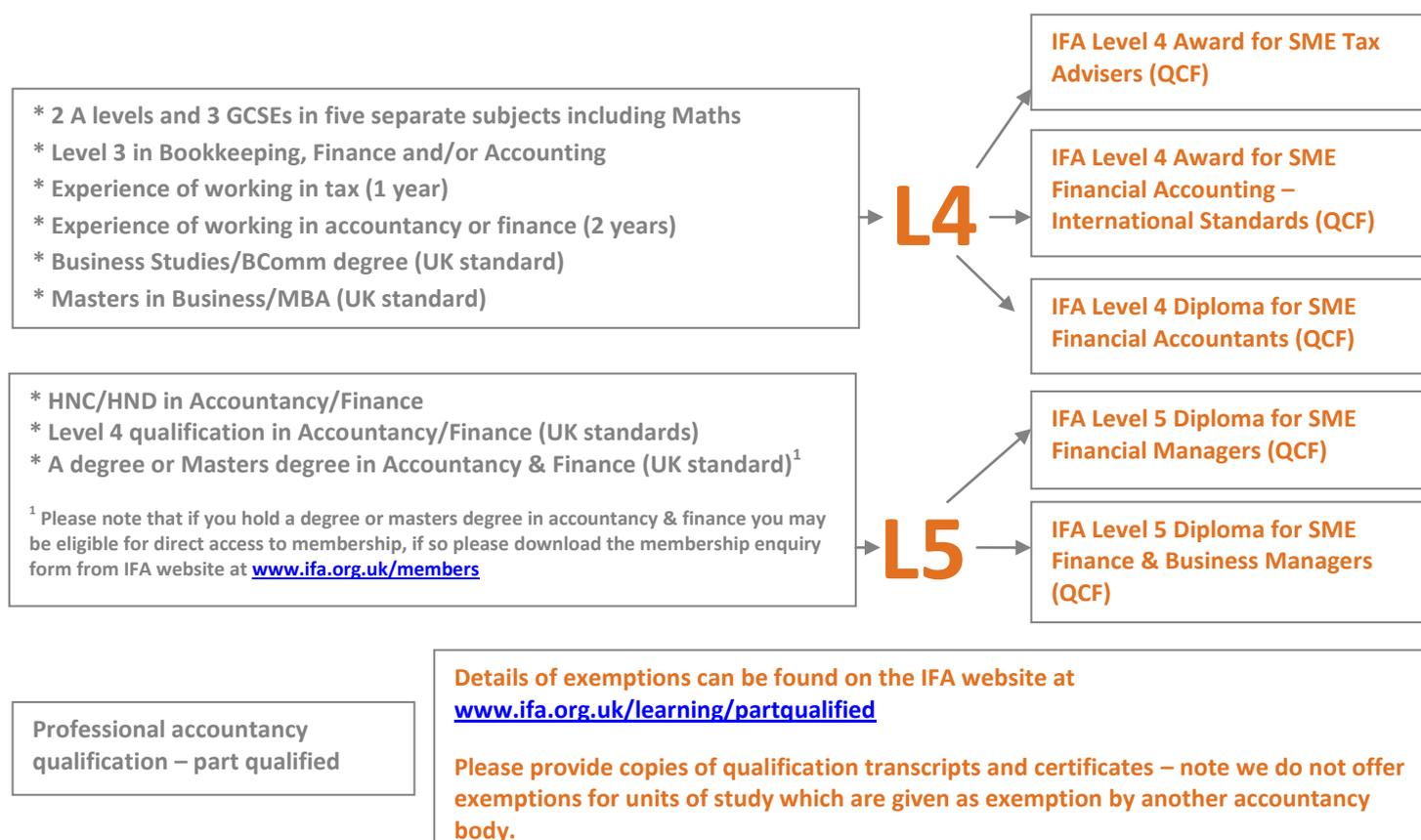
ATPs should take seriously their responsibility for ensuring that students are allowed to register for qualifications appropriate to their ability to meet the entry requirements. It is not reasonable to enter students onto qualifications where they do not have a reasonable opportunity for a successful outcome. Each ATP's results will be monitored to ensure that their students are not being accepted onto qualifications or entered for examinations without the appropriate checks. These checks should ensure that the IFA qualifications are suitable for their level of experience and educational attainment. The IFA may request copies of the student's admission papers to review to ensure the Centre's compliance with IFA entry criteria.

5.2 Language

IFA recognises that for many students, English may not be their first language. However, as the IFA qualifications are examined in English, it is essential that centres satisfy themselves that students level of competence in English will allow them to understand the exam questions and to answer the exam questions in a way that will be understood by the examiners. While students will not be penalised for spelling or grammatical errors, it is reasonable to expect that the answers should be understood by the examiners marking the papers.

5.3 Entry requirements

Students should have appropriate knowledge of the financial accounting area to allow them to access and progress in the qualifications. The minimum education requirements for students to be accepted are set out as below:



5.4 Registration

Once a centre has received confirmation of its approval as an IFA Accredited Training Provider the IFA will accept student registrations.

In order to register students, centres must provide the IFA with student details electronically (please see attached template) along with the relevant registration and exam entry fees if applicable. Exam entries must be received by the deadline date published on the IFA website or a late charge will be levied on the centre for each late entry. IFA fees are listed on the IFA Fees Sheet which is published on the IFA website at www.ifa.org.uk.

The IFA will provide the centre with student numbers for each of the students registered. All correspondence in relation to an individual student must be supported by the unique identity number provided.

There are no limits to the number of exams a student may be registered for on any exam sitting (subject to the exam timetable), it is expected that students should be properly prepared prior to each exam. It is exceptional for students to take more than two exams at any one sitting with success.

Students must also complete Level 4 exams before being registered to take level 5 exams unless the students qualification background meets the IFA's education eligibility criteria as detailed on page 16.

At the time of registration, centres must provide signed confirmation from all students that they are willing for their results to be issued directly to the centre by completing the data consent form (please see Appendix 3).

5.5 Data Protection

It is the Centre's responsibility to maintain all student records and details of achievement in an accurate, timely and secure manner in line with the requirements of data protection legislation. Furthermore, it is the Centre's responsibility to provide secure permission from each student for results to be issued to the centre. Please see Data Protection Consent Form as Appendix 3.

5.6 Recognising students' prior achievements

Students may bring forward evidence of prior qualifications which can be recognised towards IFA qualifications. Details of the exemptions available to students can be found on the IFA website at www.ifa.org.uk/part-qualified.

5.7 Cancellation policy

If you cancel, transfer or postpone an exam entry, fees will not be refunded or transferred. If students are unable to attend an examination due to illness or some other reason beyond their control, they may request a transfer to the next available session. Requests must be made in writing to education@ifa.org.uk and IFA must receive it within 28 days from the date of exam. Please provide appropriate evidence from the student to justify the cancellation.

6. Acting as an IFA ATP Exam Centre

6.1 Conducting IFA examinations

It is the Centre's responsibility to ensure that they run exams in compliance with the IFA procedures for running exams. The IFA will provide the Centre with all the documents necessary to run IFA exams. The Centre must confirm that they fully understand the requirements within each of the documents and that the exams are conducted in accordance with the regulations, policies and procedures provided by the IFA.

The IFA will also supply details of all students registered by the Centre including the unit(s) that the student is sitting. It is important that the Centre checks these details thoroughly to ensure that there are no discrepancies. Any discrepancy must be reported immediately to the IFA Education Team at education@ifa.org.uk

Upon receipt of IFA question papers it is essential that Centres ensure that

- these papers are stored in a locked, fireproof container and
- the envelopes remain unopened until the exam day.

Each of the envelopes will detail the unit title and the number of papers included. Please ensure that the number of question papers matches the number of students you have registered for that specific unit. Any discrepancy must be reported immediately to the IFA Education Team at education@ifa.org.uk

The regulations, policies and procedures are detailed below and provided as an attachment to this Handbook.

- Malpractice and Maladministration Policy including JCQ rules
- Access Arrangements, Reasonable Adjustments & Special Considerations Policy
- JCQ 'Instructions for conducting examinations'.
- IFA Notes to Invigilators
- IFA Timetable for exams
- IFA Wording for the Invigilator

The IFA will supply all the necessary stationery required within the exam pack which is despatched with the question papers.

An invigilator's report will be provided for each of the units that you have registered students for. The report will detail the unit, the time and date of the exam. It will also include all details of students. Each student must sign against their name and must provide photo ID to verify their identity. Any absent students must be detailed within the relevant section of the report. Please ensure that the form is completed fully and signed by the invigilator and dated before it is returned to the IFA.

6.2 After the examination

After the examination, the Centre must ensure that all question papers, scripts, and completed and signed invigilator reports are stored securely in a locked, fireproof container until their return to the IFA.

Immediately after the final exam sitting they should be sent to the IFA by:

- First class **signed for** mail (Special Delivery only) for UK centres **or**
- **Signed for** courier service (International Centres)

E-mail confirmation of despatch (with the tracking number) should be sent to the education team at education@ifa.org.uk

6.3 Issuance of Results

Students results will be issued 10 weeks after the examination date directly to the Centre. It is the Centre's responsibility to distribute the results to students upon receipt of the transcripts

A password protected excel spreadsheet detailing the results will be sent by e-mail to the Centre in addition to hard copies of the students transcripts being sent as long as we have received permission from each student for their results to be issued to the centre, Please see Registration section 5.4 and Data consent form provided as Appendix 3.

6.4 Appeals

If a student wishes to appeal their result they need to do this directly with the IFA according to the IFA Appeals Policy which can be found on the IFA website at <http://www.ifa.org.uk/files/appealspolicymar2014.pdf>

7. IFA Qualifications

The IFA offers a range of qualifications, designed to meet the specific needs of finance professionals working in SME businesses, as well as those in accounting practices who advise and support SME clients.

IFA qualifications are evidence that you have the practical 'hands-on' financial management and accounting skills to run a successful business. They will help you develop and improve your workplace skills, your knowledge of the regulatory environment and gain you professional recognition.

- IFA Level 4 Award for SME Tax Advisers (QCF)
- IFA Level 4 Award for SME Financial Accounting (International Standards) (QCF)
- IFA Level 4 Diploma for SME Financial Accountants (QCF)
- IFA Level 5 Diploma for SME Financial Managers (QCF)
- IFA Level 5 Diploma for SME Finance and Business Managers (QCF)
- The Diploma in IFRS for Accounting Professionals & The Diploma in IFRS for Business

7.1 IFA Level 4 Award for SME Tax Advisers (QCF)

- Ideal start if you want a career in Tax and gives progression to FTA (Federation of Tax Advisers) membership.

The FTA is the professional membership body for agents and advisers who provide compliance and planning services to entrepreneurs, high-net-worth individuals, business-owners and SME management teams. The FTA is the leading tax focused body that services the SME sector.

- You need a minimum of University level entrance qualifications or equivalent, or 1 year's relevant work experience.
- Gives an exemption of 1 unit onto the Level 4 Diploma and Level 5 Diploma for SME Financial Managers (QCF).
- Approx 6 months study, 1 exam
- For full qualification description can be found here <http://www.ifa.org.uk/students/qualifications/ifa-level-4-award-for-sme-tax-advisers-qcf-1/>

7.2 IFA Level 4 Award for SME Financial Accounting (International Standards) (QCF)

- A first step to learn about Financial Accounting, so a great start point for those thinking about embarking on a finance career in an SME/SMP.
- You need a minimum of University level entrance qualifications or equivalent

- Gives an exemption of 1 unit onto the Level 4 Diploma, details can be found here <http://www.ifa.org.uk/students/qualifications/ifa-level-4-award-for-sme-financial-accounting-international-standards-qcf-1/>

7.3 IFA Level 4 Diploma for SME Financial Accountants (QCF)

- A first step to learn about Financial Accounting, so a great start point for those thinking about embarking on a finance career in an SME/SMP.
- Applicants need a minimum of University level entrance qualifications or equivalent.
- Gives an exemption of 1 unit onto the Level 4 Diploma.
- Approx 6 months study, 1 exam.
- For full qualification description can be found here <http://www.ifa.org.uk/students/qualifications/ifa-level-4-diploma-for-sme-financial-accountants-qcf-1/>

7.4 IFA Level 5 Diploma for SME Financial Managers (QCF)

- If you are seeking to offer a route to a professional accounting qualification this is it.
- Includes the accounting and finance prerequisites if you want to work at managerial or leadership levels in an SME/SMP.
- For accounting graduates and HNC/HND accountancy path graduates.
- Allows access to Associate Financial Accountant (AFA) membership and IFA Privileges
- For full qualification description can be found here <http://www.ifa.org.uk/students/qualifications/ifa-level-5-diploma-for-sme-financial-managers-qcf-1/>

7.5 IFA Level 5 Diploma for SME Finance and Business Managers (QCF)

- For those who want a professional accountancy qualification and business skills to allow them to contribute to wider SME/SMP organisational management and leadership.
- For Accounting graduates and HNC/HND accountancy path graduates.

- Allows access to Associate Financial Accountant (AFA) membership and IFA privileges.
- For full qualification description can be found here <http://www.ifa.org.uk/students/qualifications/ifa-level-5-diploma-for-sme-finance-and-business-managers-qcf-1/>

7.6 The Diploma in IFRS for Accounting Professionals & The Diploma in IFRS for Business

- These 2 Diplomas provide the learning and skills to apply IFRS.
- These awards are not part of the IFA's regulated (QCF) provision.
- The Diplomas are only available in certain countries.
- For more information can be found here <http://www.ifa.org.uk/students/qualifications/ifrs-diploma-for-professional-accountants-and-ifrs-diploma-for-professional-1/>

8. Student Regulations

The Institute shall provide through its examinations an objective set of standards. Registered students may rely on the Institute to provide a flexible system of examinations, which will give a professional qualification to those who attain the standards required by the Examiners and Council of the Institute.

The regulations can be found

<http://www.ifa.org.uk/images/files/Student%20Regulations%20 IFA %281%29.pdf>

and cover detail on the following items:

- Objectives of the IFA Qualifications
- Registration , resignation and removal of students
- The student register, ethics and professionalism
- Communication
- Exams Conduct & Results
- Access and Special Considerations
- Student Disciplinary Procedures

Special consideration information

Special consideration – the policy can be found here

<http://www.ifa.org.uk/images/files/Access%20Arrangements%2C%20Reasonable%20Adjustments%2C%20Special%20Considerations%20Policy.pdf>

Code of Ethics

Code of Ethics - can be found here

<http://www.ifa.org.uk/images/files/IFA%20Code%20of%20Ethics.pdf>

Student Disciplinary Procedures

Student Disciplinary Procedures - the Institute bye-laws can be found here

<http://www.ifa.org.uk/files/IFA%20BYE-LAWS%20AT%20DEC%202011.pdf>

9. Student certification for units and qualifications

The IFA will only issue a certificate to a student once all of the required units have been achieved.

It is the responsibility of the centre to ensure that all certificates received by the IFA are handled securely. You must also have robust measures in place to ensure that they are issued to, and received by, the correct student.

If the Centre require the students to receive individual unit certificates in advance of achieving the full qualification there is a fee per certificate to be issued which is detailed on the Fees Sheet published on the IFA website at www.ifa.org.uk.

10. Contacts

If you have any further queries relating to ATPs please contact:

IFA education team on education@ifa.org.uk or by phone on 01732 458080

Jonathan Barber by email jonathanb@ifa.org.uk.

Appendix 1 Sanctions Policy

In supporting ATPs to operate within the Centre Agreement IFA has a duty to protect the integrity of its qualifications and exams, sometimes it is necessary for IFA to take action to remedy deficiencies in the delivery of a qualification.

IFA will investigate all issues raised to determine if there is concern as to the ATP's ability to comply with the IFA's ATP requirements.

IFA encourages ATPs to resolve their own issues, where this is not possible, or where IFA requires further information this is requested from the ATP. IFA may agree action plans with the ATP, these would be SMART (Specific, Measurable, Relevant and Timely).

Sanctions

Underpin effective ATP dealings with ATPs and their management, assessment and quality assurance are proportionate to circumstance and are escalatory in nature depending upon the level of concern and risk.

IFA reserves the right to use these sanctions (or a combination of sanctions), as appropriate, where it has assessed the risk and considers it to be appropriate.

Criteria	Sanctions
<ul style="list-style-type: none"> Breach of IFA regulations/procedures which could result in a threat to the integrity of an IFA exam if left unchecked No immediate threat to integrity of assessment 	<u>Level 1</u> SMART action plan put in place to address requirements
<ul style="list-style-type: none"> ATP no longer meets IFA ATP Requirements Continued non-compliance/implementation with/of agreed ATP action plan for Level 1 	<u>Level 2</u> Additional monitoring visit
<ul style="list-style-type: none"> There is a threat to the interests of candidates registering on the qualification/units Continued non-compliance/implementation with/of agreed ATP action plan for Level 2 	<u>Level 3</u> Suspension of student registration for an IFA qualifications/units
<ul style="list-style-type: none"> Irretrievable breakdown of quality assurance arrangements for specific IFA qualifications/units Continued non-compliance/implementation with/of agreed ATP action plan for Level 3 	<u>Level 4</u> Immediate withdrawal of approval of ATP to deliver specific IFA qualifications/units
<ul style="list-style-type: none"> Continued non-compliance/implementation with/of agreed ATP action plan for Level 4 Irretrievable breakdown of quality assurance arrangements for all IFA qualifications/units 	<u>Level 5</u> Immediate withdrawal of approval of ATP to deliver all IFA qualifications/units

Appendix 2 Withdrawal Policy

A centre is required to take all reasonable steps to protect the interests of learners in the case of any withdrawal of the centre (whether voluntary or not) from its role in delivering a qualification.

Withdrawal means cessation of the delivery of a qualification.

Suspension of delivery relates to temporary measures (this is not considered here).

Centres

The centre must co-operate fully with the IFA (awarding organisation) and in advance of making a decision to withdraw from delivering the IFA qualification(s) should contact IFA education team to discuss the matter and to help IFA understand and support centres in relation to delivery of qualifications.

If a centre withdraws from all of its IFA qualification delivery then its accredited training provider (ATP) status is terminated. If a centre wishes to withdraw from specific qualification(s) delivery, it must still meet the ATP criteria in respect of the other qualifications.

Withdrawal

If, after discussion with IFA, an ATP wishes to voluntarily withdraw from delivering IFA qualification(s) it should write to the education team stating:

- date of withdrawal
- reason(s) for withdrawal
- how the interests' of learners will be safeguarded
- any action points outstanding from IFA correspondence/visits have been/will be addressed prior to withdrawal
- confirmation that it will, at the date of withdrawal, return to IFA any items that relate to IFA ATP status
- confirmation that it will, after the date of withdrawal, cease to call itself an ATP and no longer use marketing material, logos etc
- learners will be kept fully informed of any new arrangements.

Sanctions

If it has been necessary to withdraw IFA ATP status due to sanctions being applied to the centre then IFA would expect the learners to be provided with:

- a total refund or
- guidance on a suitable alternative centre to study with and monies transferred to that centre.

IFA will give guidance to those learners who have received refunds to continue their studies via an alternate route.

Appendix 3

Data consent form

I confirm that I have sought consent from the following list of students for the Institute of Financial Accountants to issue results to the administrator responsible at [College].

Name:

Date of exam:

Signed:

Dated:

Please complete and return this form to:

The Education Department
Institute of Financial Accountants
Burford House
44 London Road
Sevenoaks
Kent TN13 1AS

Tel : +44 (0)1732 458080

Email : education@ifa.org.uk

