

Centre Delivery Guidance

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STATEMENT

It is the responsibility of the centre involved with the delivery of CIOB Awarding Organisation qualifications to familiarise themselves with this guidance and procedure documentation.

Centres will be required to comply with all relevant requirements as specified in our current and future documentation to ensure all regulatory conditions are met. New requirements may be issued at any stage as regulatory bodies have the authority to release new documents at any point in time. The Awarding Organisation will notify centres of any changes that may affect them.

References to third party information made within this document are stated in the belief that they are correct at the time of writing. The CIOB Awarding Organisation does not endorse, approve, or accept responsibility for third party information which may be subject to change. This includes textbooks, journals, magazines, any other publications, and website information.

To ensure you have the most up to date version of CIOB forms, please log in to CIOB Moodle or email awardingorg@ciob.org.uk.

Authorised by: The CIOB Awarding Organisation Compliance Panel
Owner: The CIOB Awarding Organisation/Jan2025

1. CIOB GUIDANCE DOCUMENTS

1.1. Introduction to CIOB Centre Delivery Guidance

This guide is designed for centres who are approved to deliver CIOB qualifications. It contains comprehensive information about the requirements and processes for qualification delivery. It should be used in conjunction with the appropriate Qualification Syllabus for the qualification(s) you are delivering. All centre staff should have access to CIOB guidance and procedural documentation for reference.

1.2. Other CIOB Guidance Documents

The following supplementary CIOB Awarding Organisation guides are also applicable to approved centres. They can be found on CIOB Moodle.

- **CIOB Qualification Overview.** A single page showing all CIOB qualifications.
- **CIOB Qualification Specifications.** (1 per qualification). A single page summarising key information about a qualification, including target market, entry requirements, progression opportunities, qualification size, credit value and qualification structure at unit title level.
- **CIOB Qualification Syllabus.** (1 per qualification) A booklet containing detailed information about a qualification, including full unit specifications, reading lists and information about exemptions and assessment as well as marking and grading descriptors.
- **CIOB Centre Assessment Standards Scrutiny Strategy.** (CASS). A document containing information about assessment and quality assurance and including education and qualification levels for assessors and internal verifiers.
- **CIOB Centre Approval Guidance.** A document containing the requirements for centre approval and the processes they will need to follow. This includes the requirements for expanding approval to offer additional CIOB qualifications.
- **CIOB Learner Guidance Template.** A document which can be branded and edited by centres for their learners.

1.3. CIOB Forms

The following forms are available to approved centres via CIOB Moodle. Documentation may also be requested by contacting: awardingorg@ciob.org.uk. It is not advisable for centres to keep a paper master copy or paper stocks of CIOB forms as these may quickly become out-of-date.

- Centre agreement
 - CIOB AO Centre Agreement
- Learner registration
 - CIOB AO Learner Registration Summary Sheet
 - CIOB AO Learner Registration Form
 - CIOB AO Learner Moodle Registration Form
 - CIOB Learner Withdrawals Form

- Assignments
 - CIOB AO Assignment Briefs Level 3
 - CIOB AO Assignment Briefs Level 4
 - CIOB AO Centre Internally Set Assignment template
- Assessment
 - CIOB AO Reasonable Adjustments and Special Considerations
- Certification
 - CIOB AO Certificate Claim Form
- Malpractice and Maladministration
 - CIOB AO Confidentiality Agreement
 - CIOB AO Whistleblowing Disclosure Form
 - CIOB AO Investigations Report Form
- Centre Reapproval
 - CIOB AO Supplementary Qualifications Approvals Form

1.4. CIOB Policies and Procedures

In addition, the CIOB Awarding Organisation has several policy and procedure documents which may be relevant for centres. These can be accessed on CIOB Moodle.

2. CIOB'S ROLE IN QUALIFICATION DELIVERY

2.1. CIOB Qualifications

The CIOB Awarding Organisation operates under the regulatory conditions of recognition for qualifications. CIOB launched its first qualifications in 1976.

CIOB's unique qualifications:

- prepare the learner by providing them with the knowledge and understanding for the workplace.
- offer learners the opportunity for personal growth and engagement in learning.
- are designed to develop the confidence, knowledge and hands-on skills to work in industry.
- provide evidence to employers and clients that an internationally recognised level of study has been successfully completed.

In addition, the CIOB Construction management qualifications provide eligibility to the Construction Skills Certifications Card Scheme (CSCS). For further information please visit the following link: <https://www.cscsonline.uk.com/card-finder>.

CIOB qualifications may not run unless the centre concerned has made a submission based upon the latest edition of the syllabus and received approval through the current centre approval process. Approval is continuously monitored by external moderation.

2.2. Regulatory compliance and quality assurance

The Awarding Organisation Compliance Panel (AOCP) manages regulatory and framework compliances and the awarding organisation's qualification quality assurance processes. It was established under the required regulatory specifications in September 2010 to exercise effective control over awarding organisation functions and ensure regulatory

compliance is maintained. The AOCPC sets, monitors, reviews, and evaluates CIOB regulated qualifications under the regulatory General Conditions of Recognition.

The AOCPC reports to the governing body of the organisation and monitors the systems and applications for centres in relation to the following:

- Submission approvals.
- Appeals.
- Reasonable adjustments and special considerations.
- Malpractice and maladministration.
- Qualification reviews.
- External moderation.
- Complaints.

2.3. Qualification administration

The CIOB Education Team coordinates and administers the qualifications and awarding organisation processes. The CIOB Awarding Organisation Education Team includes the following roles.

- **Director of Education and Standards (DES).** The DES maintains responsibility for education and acts as the Responsible Officer to the regulators.
- **Head of Qualifications (HoQ).** The HoQ is responsible for the review and development of CIOB's qualifications.
- **Quality Coordinator (QC).** The QC is responsible for the day-to-day coordination and administration of the schemes and the implementation of the Centre Assessment Standards Scrutiny which includes liaison with the centre's allocated external moderators and the organisation and preparation of the AOCPC meetings.
- **Qualifications Administrator (QA).** The Qualifications Administrator is responsible for learner registrations, certifications, learner enquiries and general administration.

The CIOB Awarding Organisation Education Team also provides information for centres in the form of guidance documentation such as this Centre Delivery Guidance, circulars, emails and letters to individual tutors.

It is required that regular information on the status of the schemes running at an approved centre is received from the course qualification leader. Centres must provide the CIOB Education Team with written notification prior to the implementation of any changes in their delivery relating to the following:

- Structure of the qualification(s).
- Staffing at the centre.
- Changes in timetable.
- Learning outcomes.
- Resourcing.

3. CENTRE SUPPORT

3.1. Marketing and recruitment

The use of the CIOB Logo on any publicity material is subject to stringent conditions prescribed by the Institute. Centres wishing to use the logo (not crest) are required to contact the CIOB Marketing Manager before use.

The CIOB logo may not be used prior to approval being granted to run a qualification.

Centre approval is required by the CIOB AO before any qualification may be advertised by a centre.

The CIOB AO will be pleased to assist tutors and centres with promotional material such as flyers and brochures for presentations to learners and employers.

Note: Approved centres issued with sanctions may have marketing rights to CIOB courses temporarily withdrawn until the reinstatement of certification is approved.

3.2. Training and development

Training is a key part of ensuring standards are applied consistently and in compliance with CIOB policy and regulatory requirements. The CIOB Awarding Organisation ensures external moderators attend standardisation training events and encourages them to attend industry-specific events and meetings and participate in industry-specific committees.

Centres are requested to contact the CIOB Awarding Organisation if they require training or clarification on any aspect of our qualifications and their delivery. In addition, external moderators can generally assist during a centre visit and the CIOB Education Team can clarify and provide processes and procedures upon request.

3.3. Irish (Gaeilge) language

The CIOB is supportive of the Belfast Agreement, which committed the government to recognise the importance of the Irish language, and will respond positively to language needs in Ireland, through the provision of Irish (Gaeilge) and dual language materials.

Annually, the CIOB Awarding Organisation monitors the demand for the provision of our qualifications in Irish (Gaeilge) and/or dual language medium from our Northern Ireland centres.

Where a demand is identified, evidence will be submitted to the CIOB AOCP. The Panel will assess the evidence and decide whether this demand should be met.

Where the Panel agrees to the case for offering our qualifications through a mixture of English and Irish (Gaeilge), CIOB will use the guidance produced by Department of Culture Arts and Leisure (DCAL) to implement this.

3.4. CIOB regional hub support

Your local CIOB Hub will be pleased to assist qualification leaders with providing promotional material for presentations to learners or employers. Your local hub may also assist centres by attending centre open days, training or other events and may also

provide documentation for CIOB centre noticeboards. Each hub holds regular committee meetings. You can discuss any issues you would like raised at these meetings with your local hub development manager. Further information can be found here: <https://www.ciob.org/about/where-we-are>

3.5. Funding

Normally applicants' fees will be met by their employer as part of their staff development commitment. There is some funding through CITB-Construction Skills, some individual loans are available and there may be special provision for unemployed learners such as through national and local charities.

4. REQUIREMENTS FOR CENTRES

4.1. Centre agreement

The centre must operate and deliver CIOB Awarding Organisation qualifications as outlined in the CIOB Centre Agreement. Centres will have signed this as part of their approval as a CIOB Approved Centre.

4.2. Changes to provision

Centres are expected to notify external moderators if course provision is amended, as some changes in the provision may affect the centre's approval status. Some examples of changes are listed below, but this is not an exhaustive list.

- Change of name or address of centre.
- Change of contact, and their contact details for the centre.
- Change in staffing resources, this includes directors and senior management.
- Change in physical resources.
- Change in delivery site such as franchise to satellite sites or subcontracting centres without prior written permission.

4.3. Quality Assurance Nominee

Centres must appoint a quality assurance nominee. The quality assurance nominee should ensure the effective management of CIOB qualifications and actively encourage and promote best practice. The awarding organisation must be informed if there is any change of personnel for this position. The quality assurance nominee should coordinate with the qualifications leader to meet all necessary requirements for the moderation visit.

4.4. Moderation

The review of the centre management and quality assurance processes is primarily carried out by the external moderator. External moderators will sample centre assessments to ensure consistency. In addition, they will carry out an annual moderation visit during which they will need access to premises, records, information, learners, and staff. The CIOB will act where centres fail to provide access for visits by external moderators and qualification regulators.

4.5. Submission of key information

Sections 5 – 13 of this guidance outline the key information that needs to be submitted by centres to the CIOB Awarding Organisation at each stage and the processes for doing so.

5. LEARNER REGISTRATION

5.1. Learner interviews

The CIOB requires all potential learners to be interviewed by the course leader before they are accepted onto a CIOB course. Prior to interview, course leaders are required to conditionally approve applicants as meeting or exceeding the minimum entry requirements outlined in the relevant qualification specification. Centres must ensure that learners have the correct information to make informed choices to enable them to enroll on qualifications that meet their requirements.

Confirmation is required that the learner interview process is being carried out in accordance with procedures outlined within the centre's initial submission and in line with any conditions set by the approval agreement.

Normally interviews will be held at the start of the academic year, but flexibility is permitted thereby allowing 'roll on-roll off' schemes to operate.

The purpose of the interview by the centre course leader is to:

- Confirm that the learner is eligible in terms of knowledge and experience.
- Evaluate if the learner will be able to contribute to the course.
- Identify and discuss any areas of need.
- Agree with aspects of the course and other studies that will assist the learner.
- Consider accredited prior certificated learning.
- Establish whether adjustments may be required.

It is the centre's responsibility to initially evaluate the learners' previous achievements and to ensure they are aware of the options open to them, such as any reasonable adjustments that may be available.

As soon as possible, after the interview, each applicant should be informed whether their application for the qualification has been successful. Applicants should be informed that acceptance is subject to ratification by the CIOB and is dependent on the learner being registered with the CIOB at the commencement of, and for the duration of, the scheme.

Free CIOB learner membership is open to all learners registering for the qualification. See section 7.5.

5.2. Learner qualification registration timescale

Learners must be registered with the CIOB within 12 weeks of the start of the course. Learners cannot be registered for CIOB qualifications via the membership portal. Instead, registration is carried out by submitting the registration documents in section 5.3. A late registration fee will be imposed if a learner has not been registered within the first 12 weeks of enrolment.

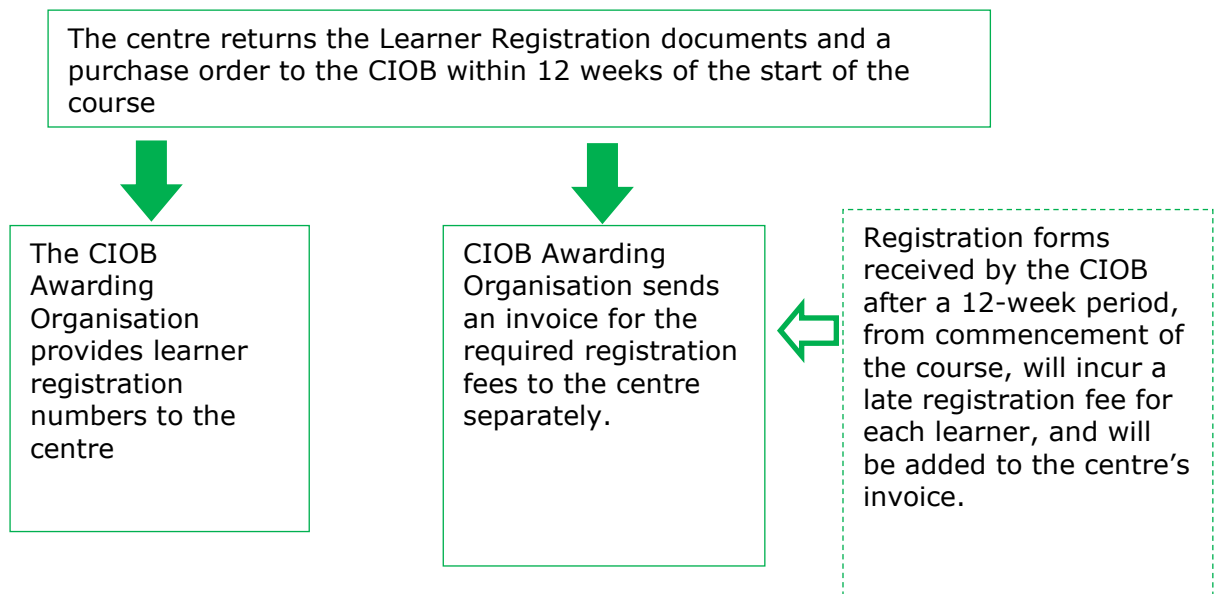
5.3 Learner qualification registration documents

The current version of the Learner Registration form is available on CIOB Moodle or by emailing the CIOB Education Administrator at awardingorg@ciob.org.uk. Learner registrations on old versions of forms will be returned to the tutor for resubmission of the correct form.

Registration documentation consists of the following forms:

- **Learner registration summary sheet.** This is for the centre to list all the learners in a particular cohort. A purchase order number must be provided by the centre when completing the registration summary sheet. Forms without a purchase order number will be returned to the centre.
- **Learner registration form.** This is for the individual learner to complete and return to the tutor. There should be one registration form for each learner listed on the summary sheet. The tutor should hand each learner a registration form for completion, ideally in a class setting so that the tutor can ensure that learners have completed all required sections.
- **Declaration form.** This is for the individual learner to complete and sign.
- **Learner Moodle registration form.** This is for learners to complete so that they can gain access to the CIOB learning portal.
- **Reasonable adjustments and special considerations** – when relevant. This is for the centre to complete for individual learners who require reasonable adjustments to access assessment. See Section 10 for more information.
- **Exemption information** – when relevant. This is for the centre to complete for individual learners who have already met part of the qualification requirements within a different qualification. See Section 6 for more information.

5.4 Learner qualification registration documents



5.5 Learner registration fees

A purchase order for the registration fees must be submitted to CIOB with the registration documents. Fee information is published annually and can be downloaded from the CIOB website <https://www.ciob.org/learning-centres/becoming-ciob-approved-qualification-centre>

A late registration fee will be added to the centre's invoice for each registration form received by the CIOB after a twelve-week period from the start of the course.

No registration fee is applied where a learner progresses from a certificate to a diploma at the same level when there is recognised progression between the two qualifications.

Once the learner has completed the certificate qualification, the centre must advise CIOB that the learner wishes to progress to the diploma by ticking the relevant box on the learners' certificate claim form.

6. EXEMPTIONS

Learners can be exempted from a unit, or units, through their previously certificated achievements. This ensures that they do not duplicate learning and undergo unnecessary assessment. Exemptions should be agreed with the CIOB Awarding Organisation at the time of learner registration. Each application and its outcome are recorded by the CIOB Awarding Organisation.

6.1. Exemptions listed in qualification syllabus

A learner may be given unit exemption for any qualifications listed in the qualification syllabus on which they are enrolling provided that a valid and current certificate can be produced. Expired awards will not be accepted. The learner can be simultaneously enrolled on the course that provides exemption if they have achieved it by the time that certification is claimed. In cases where the expiration date occurs prior to/or at the time of a claim, the qualification must be retaken so that it is current at the time of certification. A copy of the achieved exempted qualification must be provided as proof of completion when requesting CIOB certification. CIOB certification can only be gained for exempted units through learners attending a CIOB Awarding Organisation approved centre.

6.2. Exemptions not listed in qualification syllabus

Requests from centres for the recognition of awards or qualifications not listed in the qualification syllabus will be considered on an individual basis.

Evidence to support prior learning is required to ensure the currency of learners' knowledge, skills, and achievement within the context of the unit(s) being assessed. Previously attained qualifications of up to five years (three years for health and safety) may be used as evidence of prior learning if they have been awarded by a recognised awarding body or professional body.

Centres must provide the following information:

- A map of the content of previously certificated units for which exemption is sought against the specified evidence requirements for CIOB qualification units.
- A transcript, or equivalent, of the units studied and a relevant qualification/unit specification.

The CIOB external moderator will check the evidence of the prior attained qualification to ensure it matches the evidence requirements. The Awarding Organisation reserves the right to refuse requests.

6.3. Accreditation of prior experiential learning

CIOB Awarding Organisation is unable to grant exemptions for prior experiential learning or any learning that is uncertificated.

7. LEARNER ADMINISTRATION

7.1. Ongoing learner records

Centres must inform the CIOB Awarding Organisation of any changes to the learner group, including withdrawals (*form available*) and deferrals, throughout the duration of the qualification, including if they do not embark on the diploma following completion of their certificate. This is to ensure that registration figures remain up to date for regulatory body reporting.

If withdrawn or deferred learners later decide to complete the full qualification, they must be re-registered and CIOB notified as soon as the learner confirms they wish to continue. A study break timeframe of no more than two years is recommended. Where a revised syllabus is in place and a learner has part certification or individual unit awards, the centre must map against the new specifications learning outcomes to establish the required units. This is to ensure there is no duplication of learning. Any part certificated award not falling under the regulatory conditions will not be considered.

7.2. Unique Learner Number

The Unique Learner Number (ULN) is a mandatory randomly generated 10-digit number allocated to learners. This remains with the learner, linking all their learning experiences and achievements as a lifelong learning record. Centres apply for the ULN on behalf of the learner when they embark on their first qualification. The ULN does not replace the learners' allocated CIOB registration/learner number.

7.3. Personal Learning Record

The Personal Learning Record (PLR) has been active since 2007 and is an online compilation of an individual's qualification achievements collected by UK education bodies. The PLR means learners no longer need to show copies of their certificates to learning centres and employers. The PLR is held by the Education and Skills Funding Agency (ESFA), which is an executive agency for the Department for Education (DfE).

7.4. Learner Guidance template

The learner guidance template contains all the information that learners will need to complete CIOB qualifications. Centres can edit this to include specific qualification information and to feature their centre branding and contact details.

7.5. Free CIOB Student Membership

Learners enrolling on CIOB qualifications have an option to register for free CIOB student membership. CIOB student membership is only available to learners attending a CIOB Awarding Organisation approved centre.

Free student membership provides the following benefits to learners whilst studying for this qualification.

- Complete access to the CIOB library and information service (additional application required)
- Advice on technical and legislative issues
- Information and updates through CIOB members area of website
- Access to branch activities and networking opportunities
- Electronic access to the CIOB Construction Manager magazine.

For more information on how to register contact the CIOB Customer Services Membership Team.

7.6. Centre withdrawal

The CIOB Awarding Organisation is committed to ensuring that learners enrolled on its qualifications are not disadvantaged should delivery be withdrawn. This may be if the centre management decides to withdraw from delivery, or if the Awarding Organisation imposes sanctions and withdraws delivery. In either case, the centre must co-operate fully with the Awarding Organisation to ensure learners are protected.

- **Notify CIOB.** If a centre withdraws, they must notify the CIOB Awarding Organisation immediately. Centre's that withdraw from delivery or have their delivery withdrawn must also provide details of all learners' current achievements and partially or completed units within their qualification.
- **Find alternative provision.** The CIOB holds a list of alternative approved centers. At the time of centre withdrawal, center's must make alternative assessment arrangements to allow learners who are registered for a qualification but have not yet achieved their award to complete their studies. Learners must be kept fully informed throughout this process.
- **Refund learners.** Where centre approval has been removed and high-level sanctions are placed, or the centre withdraws, the Awarding Organisation expects centres to provide a total refund to learners.

8. ASSIGNMENTS

8.1. CIOB set assignments

The CIOB awarding organisation provides assignments for the units in some qualifications. These can be found on CIOB Moodle or on request from the CIOB Awarding Organisation by emailing awardingorg@ciob.org.uk. These may be amended by centres but must be approved by the external moderator before being released to learners.

8.2. Centre set assignments

Centres can also produce their own set assignments. Centre set assignments must be approved by the external moderator before being released to learners. The Centre Set Assignment Template is available on CIOB Moodle or on request from the CIOB Awarding Organisation by emailing awardingorg@ciob.org.uk.

8.3. Producing centre set assignments

Assignments must meet CIOB quality standards and be signed off by the external moderator before use. Failure to do so may result in external moderators overriding assessment decisions.

The following points are a useful checklist when producing centre set assignments:

- **Cover the aims of the unit and enable assessment of all learning outcomes.** Refer to the qualification specification to review the unit aims, learning outcomes and assessment criteria. Assignments must enable assessment of, and be cross referenced against, each learning outcome for the unit.
- **Be at the appropriate level.** Assignments should contain command words at the level of the learning outcomes. Tasks with lower-level command words that do not reflect the level of the learning outcomes will not be approved for use.
- **Level of demand.** Exam questions should test knowledge at the level of the learning outcomes. They should be at a consistent level of demand for other assessments for this unit that have taken place in the past.

- **Comprise formative and summative assessments.** Centres should develop a range of assessment materials that have formative and summative assessment aims.
- **Use clear language that is technically correct.** Language should be clear and straightforward and should not be at a higher level than that required by the unit.
- **Should not cause offence or disadvantage.** Assignments should not cause offence to groups of learners. They should also not disadvantage groups of learners by restricting their level of attainment.
- **Group tasks must allow for individual assessment.** Group tasks can be used, where appropriate, for practical assignments but tutors must individually direct an element of each group task, such as question and answer, to assess each learner.
- **Questions should be open-ended.** Question and answer sessions and written tasks should comprise open-ended questions that allow learners to expand on their answers and demonstrate their knowledge and understanding.
- **Avoid compound sentences in assignment questions.** Compound sentences will make it more difficult to mark. Instead, where there are multiple learning outcomes that will be assessed synoptically within one task, assignment questions should be divided into parts to reflect the different outcomes.
- **Allow scope for learners to exceed learning outcomes.** Written assignments must allow learners to meet or exceed learning outcomes to enable assessors to differentiate between levels of attainment. Refer to the Marking Descriptors in the appropriate Qualification Syllabus for details of content at different levels of attainment.
- **Avoid plagiarism and malpractice.** Be written to minimise the possibility of plagiarism and malpractice. Centres should review assignment briefs on an annual basis. Ideally, a centre should hold several assignment briefs that can be used in rotation to avoid malpractice.
- **Assignments with practical tasks must test knowledge as well as practical skills.** They must incorporate knowledge and understanding questions, or other written tasks which test learners' knowledge of the underlying principles of the technical aspects of the task and encourage reflection on practice. For example, they could ask learners to evaluate how the practical assignment was carried out or explain:
 - The role of quality systems,
 - the importance of accuracy and the consequences of mistakes,
 - health and safety considerations,
 - the merits of new technical innovations.
- **Assignments with Practical Tasks must meet the requirements of the Equalities Act.** They must allow reasonable adjustments or special considerations to be applied. This could mean accepting video evidence or allowing a learner who is unable to physically undertake the task to describe how the task should be carried out.

8.4. Required assignment information

All assignment information should be completed on the Internally Set Assignment Template. This should include a cross reference of the assignment against unit learning outcomes, assessment and grading schemes and any supporting documentation. It is a good idea for this information to be reviewed by the internal verifier before submission to the external moderator for approval.

8.5. Security of assignments

Assignments should be retained in a lockable cabinet/cupboard accessible only to those staff involved in qualification delivery.

8.6. Ongoing use of assignments

Assignments can be reused for subsequent cohorts of learners provided that the scenarios within them are changed for each additional use. These scenarios may be set by centres, or learners may use live projects from their work environment. Previously approved assignments do not need to be rechecked by external moderators unless the unit assessment criteria change.

9. DELIVERY

9.1. Learning methods

Principally tutor-led formative assessments should be carried out throughout (see section 9.8). Learners should be advised to plan efficiently and manage their own personal study and coursework in addition to attendance at the centre or distance learning as set out in the total qualification time.

9.2. Specific requirements for distance learning

Centres delivering via distance learning must ensure that they are compliant with the CIOB Awarding Organisation delivery requirements so that their reliability is not compromised. Any accompanying resources and study materials must meet CIOB criteria for the quality of teaching and learning support materials.

Distance learning may be supported through CIOB Moodle, e-learning, blended learning, flexible learning, remote tutor led learning and web-based materials to complement classroom-based learning. Centres should consider:

- The clarity of learner resource materials.
- Support required by learners for both learning and assessment.
- The capabilities and security of the system.

The distance learning platform should:

- Be intuitive for all users – learners, tutors, assessors, internal verifiers, quality assurance staff and CIOB external moderators.
- Store securely a full range of documentation types: such as text, scanned images, digital pictures, video, templates, and relevant standard software applications incorporating reasonable adjustments for learners with individual access requirements.
- Provide links to other documents/areas, such as centre policies and procedures, learner course handbook, CIOB information, qualification documentation and other relevant websites.
- Provide a full range of user guidance and support material, including a 'Frequently Asked Questions section'.
- Be secure while remaining easily accessible for all users.
- Have read-only rights given to those who require limited access.
- Incorporate a contingency strategy to mitigate any risks associated with the loss of learners' evidence by:
 - the use of back-up facilities in the event of a system failure
 - the facility to archive individual learners' evidence on appropriate hardware such as: CD ROM or USB

- Have a full Disaster Recovery process in place at the hosting data centre (for centrally hosted services).

9.3. Information for learners

Learners should be given clear and full information at the beginning of the course on the mode, preparation, and overall assessment criteria for assessment. The centre submissions procedure will ensure the following:

- Learners receive a set scheduled timeframe.
- Learners are informed when, where and how to submit their coursework.
- Learners are informed how to request an extension period or extenuating circumstances.
- Procedures are outlined for handling referred work and draft submission deadlines.
- The consequences of plagiarising work are outlined.

In addition, learners must be provided with the following to support their learning:

- Current information about any immediate or distance learning support available.
- A named contact, available either through email, telephone, or other means, who can provide constructive, informative feedback on their learning and progress.
- Tutors and assessors with applicable current knowledge and proficiencies for qualification delivery.
- A timetable of any support available through organised activities, such as seminars, discussion groups and web-based events.
- Details of the requirements of learning and the type and amount of independent and supported learning available.
- Encouragement to engage fully with their learning, assessment planning and assessment.
- Equal opportunity to access qualifications and assessment, so that individual learners are not disadvantaged.
- Clear requirements of their responsibilities and the support available from the centre.
- Information about the grade descriptors and grading criteria and encouragement to refer to them when completing assignments.

Learners resource materials should clearly state:

- The responsibilities of the centre for qualification delivery.
- The qualification syllabus.
- The learning outcomes and related assessment criteria.
- Description of the teaching, learning and assessment methods.
- Timetable for delivery of learning.
- Any associated resources and study materials available.
- A clear timeframe for the interim and final assessment of learners' work.
- How, internal quality assurance processes are incorporated into delivery.

In relation to assessment, learners must be provided with:

- Information on the ways in which their evidence will be assessed.
- Opportunities for formative assessment to enable individual constructive feedback and guidance towards final assessment.

It is important that learners understand what is required of them and the implications of not meeting it. Learners will fail assignments in the following situations:

- They fail to submit.
- They fail to meet the pass criteria.
- They fail to meet pass criteria after one referral attempt.
- They fail to submit by the agreed deadline written request.
- They failed to submit by the extension deadline.
- After investigation the assignment shows evidence of gross plagiarism.

9.4. Setting written assignments

It must be made clear in the written instructions to learners which learning outcomes and assessment criteria are being assessed by each assignment and how they can achieve a distinction grade.

9.5. Referencing

All learners must accurately reference all source material, including images and diagrams, within their assignments using a recognised method of referencing (such as Harvard System or Number System) and state the dates the information was accessed.

9.6. Declaration of authenticity

The assignment front sheet and declaration of authenticity must be completed for every assignment. All work submitted by learners for assessment is accepted on the understanding that when signing the assignment declaration form, learners are confirming that it is their own work.

9.7. Plagiarism and Artificial Intelligence (AI) Tools

Plagiarism is defined as passing someone else's work or ideas off as one's own and is considered a fraudulent act and an offence against the standards as set by the CIOB. Plagiarism can occur in the following situations:

- The presentation of work, in any form, which is not one's own, without acknowledgement of the sources.
- One learner copying another learner's work.
- Inappropriate collaboration between learners.
- Learners receiving assistance from others.

The risk of plagiarism is greater when the opportunity to observe the activities of learners producing evidence at first hand is not present. When this direct evidence is not available, steps should be taken to confirm that learners' evidence was genuinely produced by them. This is referred to as authentication.

CIOB Moodle uses Turnitin® is a web-based plagiarism prevention system used by most educational institutes in the UK to identify occurrences of plagiarism and AI and acts as a deterrent against plagiarism. Learners are required to submit their assignments here prior to submitting their final assignment. It can also be used by learners to identify and correct possible occurrences of plagiarism in their work and improve their academic writing.

Turnitin® analyses submitted work to identify text matches with other sources, usually completing this task within a few minutes. For each piece of submitted work, Turnitin® provides two things.

- **A similarity index**, which indicates the percentage of the submitted paper that Turnitin® has identified as matching other sources and the use of AI.
- **An originality report**, which shows each of these matches in more detail, including the source(s) that Turnitin® has found. Sources can be websites, books, journals and articles, or work that has previously been submitted through Turnitin®.

9.7.1 Possible Sanctions for Plagiarised Work and use of AI Tools

There is an allowable percentage of twenty percent. Where students see their similarity percentage is higher than twenty percent then they should be encouraged to review their

assignment and resubmit. However, tutors will need to make an academic judgement for anything over twenty percent. Turnitin will pick up common words and phrases i.e., the project title will be picked, and a percentage allocated to it, and this will need to be ignored.

Assignments should not be marked if:

- Any submission made with a significant amount of work can be attributed to another source.
- Any submission made with a significant amount of work that is similar in content to another learner.

9.7.2 Artificial Intelligence (AI) Tools such as ChatGPT

The CIOB AO stands firm in its commitment to maintaining the integrity and fairness of the assessment process. The use of AI assistance, such as ChatGPT, is strictly prohibited and any learner found in violation of this rule should be investigated and face penalties.

A further rigorous authentication system can minimise the number of malpractice cases encountered. Authentication can be achieved by using one or more of the following techniques:

- Controlled access to online materials.
- Use of personal logs.
- Personal statements produced by learners.
- Peer reports.
- Questioning/discussions
- Write-ups under supervised conditions.
- Witness testimonies.

Where a learner is suspected of plagiarism, at whatever stage, the approved centre should follow its internal procedures plus our guidance and notify the CIOB Awarding Organisation. If it is the centres decision for the student to resubmit the tasks (questions) these should be changed, or the same tasks, but the scenario changed.

9.8. Formative assessment

The core purpose of formative assessment is to assist learners in the development of knowledge. This is an informal form of assessment which can include activities, discussions, questions, or any class activity that allows the tutor to gauge progress. It informs both the learner and tutor of the achieved progress in the learner's understanding of the subject. Implementation of an assessment plan allows measurement and tracking of a learner's current progress, assessing the learner's understanding of essential elements towards the learning outcomes under an established timeframe. Formative assessment is counted as part of the learning process and does not require graded evaluation as in the case of summative assessment. If devised appropriately, an assessment review helps identify the learners' strengths and weaknesses.

Reviewing the learner's assignment gives an understanding of the students' effort towards study and how they cope with varying learning methods, this can reveal a lot of evidence, particularly if learners are expected to clarify their reasoning during the procedure. When the delivery team carries out formative evaluation of a students' work, it provides:

- Present understanding, student attitudes and skills acquired relating to the subject.
- Lecturing styles, strengths, and weaknesses.
- Any additional considerations or reasonable adjustments required if appropriate.

Collaboration within the delivery team provides an opportunity for improvement. Based on this evaluation tutors may adapt their teaching to be more efficient going forward. As a result, a unit will then be likely to have the required outcome where improvements are implemented due to the findings.

Formative assessment, when constructive supportive feedback is provided, also provides a useful lead-in to where summative assessment is necessary. It also helps to personalise future planning and ensures that learners are appropriately challenged. Achieving a balance between formative and summative assessments is important.

9.9. Revision, re-drafting, and interim review of work – summative assessment

Learners are free to revise and redraft a summative assignment without tutor involvement before submitting the final piece. Learners may submit drafts of summative assignments for tutors to review once only before handing it in for final assessment. (also see 11.3). One review is expected to be sufficient for learners to understand the demands of the assessment criteria.

Tutors may give general advice on improving assignment submissions - such as using a standard referencing system and improving layout. Provided that advice remains at the general level, enabling the learner to take the initiative in making amendments, there is no need to record this advice as assistance or to deduct marks. Advice may be given in either oral or written form.

Tutor's cannot give detailed advice or suggestions to individual learners or groups on how to improve their work to meet the assessment criteria or improve the grade. Some examples of unacceptable assistance are listed below.

- Detailed indication of errors or omissions.
- Advice on specific improvements needed to meet the criteria.
- The provision of outlines, paragraphs, section headings, or writing frames specific to the coursework task (units).
- Personal intervention to improve the presentation or content of the coursework.

A clear distinction must be drawn between any interim review and final assessment. Once work is submitted for final assessment it may not be revised. This is to ensure that the work remains that of the learner and that there is no unfair advantage over other learners.

10. REASONABLE ADJUSTMENTS AND SPECIAL CONSIDERATIONS (RASC)

10.1. The purpose of reasonable adjustments and access arrangements

During assessment, a reasonable adjustment reduces the effect of a disability or difficulty that places learners at a substantial disadvantage to other learners. Access arrangements for assessment allow learners to show what they know and can do, without changing the demands or the integrity of the assessment.

10.2. The requirement for reasonable adjustments and access arrangements

- **Learners with disabilities, including those with special educational needs.** The Equality Act 2010 requires reasonable adjustments be made for learners with a disability. The range of disabilities includes communication difficulties, interaction difficulties, cognition difficulties, learning difficulties, sensory needs, physical needs, emotional difficulties, social difficulties, and behavioural difficulties. The CIOB Awarding Organisation and its centres are required to take reasonable steps to

overcome such disadvantages by making access arrangements for those learners to access assessment. There is no duty to make any adjustment to the assessment objectives being tested in an assessment.

- **Learners with temporary injuries.** Access arrangements can also enable learners with temporary injuries, to access assessment so that they are not at a disadvantage to other learners.

10.3. Designing access arrangements

Access arrangements can include the following. These examples are for illustration only and are not an exhaustive list:

- Extra time.
- A word processor.
- A scribe.
- An oral language modifier or a sign language interpreter.
- A computer reader or a reader.
- A prompter.
- A practical assistant.
- Coloured overlays.
- Coloured/enlarged papers.
- A live speaker.
- Papers with modified print or modified language or in braille.
- Supervised rest breaks.
- Separate invigilation.
- Alternative accommodation arrangements.

A reasonable adjustment for a particular person may be unique to that individual and may not be included in the above list of available access arrangements. Also, some learners may have multiple needs and require a range of adjustments.

The application of a reasonable adjustment will depend on several factors, including:

- the needs of the learner
- the effectiveness of the adjustment
- its cost
- its likely impact upon the learner
- its likely impact on other learners.

An adjustment with unreasonable costs or timeframes or which affects the security or integrity of the assessment is not "reasonable".

10.4. Agreeing reasonable adjustments and access arrangements

Reasonable adjustments are agreed and planned upon at the pre-assessment stage, so the learner is aware of the options available to them. Appropriate time should be given for the learner to practice using the agreed arrangements.

Reasonable adjustments may be permitted at the discretion of the centre in cases where the adjustment falls within the remit of the centre. The Awarding Organisations' RASC policy is for CIOB approved centres to determine on a case-by-case basis whether reasonable adjustments are necessary and what reasonable adjustments are appropriate. Centres may also consult their external moderator or apply to the CIOB for permission in exceptional cases.

All instances should be recorded and reported to your external moderator and/or the CIOB Quality Coordinator for monitoring purposes in compliance with the duty under the Equality Act 2010

10.5. Special considerations

Special consideration is an adjustment to a learner's mark or grade to reflect temporary illness, injury, or other indisposition at the time of assessment.

11. COURSEWORK SUBMISSION

11.1. Submission portal access and security

Centres must assure learners that any submitted evidence of learning is secure within the submission portal and will be appropriately accredited. Secure access methods to the portal should be provided by:

- specified user access only
- unique security passwords/login identification provided for each user
- hidden areas with designated access.

11.2. Submission deadlines

Submission deadlines are the latest time/date for coursework submission before late penalties are incurred. Coursework deadlines are to be set by the tutor and individual learning needs considered. Each learner should adhere to set deadlines unless special considerations have been mutually identified or been requested.

All learners' assignments must be submitted by the specified deadline. Assignments submitted after the deadline without a granted extension will not be marked and the learner will be deemed to have failed the assignment. It will be the course team's decision to give allowances for learners to complete all outcomes.

11.3. Draft submission

A draft submission is where learners would submit unfinished assignments for feedback and revision before the final deadline submission date. The tutor can set 'draft coursework' submission procedures and use a "draft submission deadline".

11.4. Submission process

The tutor is responsible for enforcing the submissions procedure. In all instance learners are responsible for keeping copies of any assignments submitted.

A Turnitin® assignment is set up by a tutor. CIOB's learning platform Moodle enables the use of Turnitin®. Learners then access this assignment online and upload their work through Turnitin® in the CIOB Moodle system before the due date. Centres should ensure that learners have complete information about how to do this.

11.5. Submission extensions

If a learner fails to meet the submission deadline, they must request an assignment extension before the deadline date and time. Learners are responsible for requesting submission extensions before the original assignment submission deadline, should they require further time to complete their coursework (acceptable reasons should apply). If a learner fails to request an extension by the deadline, their assignment will not be marked, and they will be deemed to have failed the assignment.

The length of the extension is at the tutor's discretion and should take account of the learners' individual circumstances and needs. As a guideline an extension ranging from two to fourteen days could be considered as reasonable. This should only be confirmed following a written request.

11.6. Submission extensions for loss of work

Extensions will not be given due to loss of work.

11.7. Submission extensions for learners with dyslexia

Consideration must be given to requests for extensions for the submission of coursework for learners with dyslexia. When a learner with dyslexia requests an extension on a submission deadline, it is recommended that a tutor considers granting the extension where the learner has made reasonable efforts to meet the deadline and where there appears to be a genuine reason for missing the deadline. The general difficulties with time management and study skills that are characteristic of dyslexia may be considered a sufficient reason to grant an extension if the learner has demonstrated that he or she has made reasonable effort towards completing the assignment. Any supporting evidence from other individuals could be considered. A tutor, however, can refuse to grant an extension if there does not appear to be a reasonable reason for missing the set deadline.

11.8. Submission extensions for learners with extenuating circumstances

If a learner requires a longer extension due to serious extenuating circumstances, then they must submit a written request at least two days before the assignment deadline. The written request must contain detailed information and evidence supporting the request such as a medical note or letter from a third party. The qualification leader and tutor will decide the length of the extension to be granted.

Where a learner is unable to request in writing by the deadline date due to serious illness or hospitalisation, such extenuating circumstances will be taken into consideration by the qualification leader and tutor. The course leader and tutors are responsible for approving all requests for longer extensions under extenuating circumstances. In such cases the learner will be required to provide evidence of the circumstances.

12. SUMMATIVE ASSESSMENT

12.1. Assessing learning outcomes

Assessment is carried out against specific assessment criteria linked to the learning outcomes for each unit in a qualification. These are set by the CIOB Awarding Organisation.

12.2. Timing of assessment

Suitable timing for assessment may be decided centrally as part of the whole Centre assessment policy, or in consultation with colleagues. Tutors need to be confident that learners have completed a wide enough range of work in different contexts to give a reliable picture of their overall performance. There also needs to be evidence that learners can transfer the skills they have learnt.

12.3. Guidance on assessment for centres and teaching staff

The Learning and Teaching Support Network Generic Centre Assessment Series of guides can aid in developing higher level assessment skills. Three of these guides are appropriately referenced at the end of this document.

12.4. Types of assessment

Assessment methods can be chosen by the centre. These can be practical assignments, written assignments, exams, or any other type of valid assessment method that allows

learners to demonstrate the achievement of learning outcomes. Group work can also be a valid assessment method provided everyone's input can be verified by the assessor.

Assessment methods seek to measure learner knowledge, understanding, behavior and abilities. A sound approach is to ensure that learning opportunities are provided which gradually move learners towards the achievement of learning outcomes and that assessment is staggered throughout the duration of a qualification.

It is good practice to produce a matrix of learning outcomes and the assessment methods used for each unit in a qualification.

12.5. Practical and written assignment marking descriptors

Marks are given for the quality of learner responses on the task, the quality of the technical content, presentation, and coherence. Indicative marking descriptors are provided by the CIOB and can be found within the relevant qualification syllabus. In addition, indicative marking descriptors for practical assignments can be found at Appendix 1 of this document. Marking descriptors describe indicative characteristics to assist with assessment of assignments. The marking descriptors are used to assist the assessor to differentiate between levels of achievement when marking assignments. An overall holistic approach is required when assessing a learner's work.

12.6. Centre set exams

Exams can be a useful way of assessing learner knowledge. Centres can set their own exams to assess knowledge-based learning outcomes within qualification units. All exam information should be retained for consideration by the external moderator during their annual visit or sampling activities. When setting exams centres should consider the following:

- **Assessment of relevant learning outcomes.** There should be clarity about which learning outcomes and assessment criteria are being assessed by which questions. It is useful to refer to the qualification syllabus.
- **Level of demand.** Exam questions should test knowledge at the level of the learning outcomes. They should be at a consistent level of demand for other assessments for this part of the qualification that have taken place in the past.
- **Question type.** Consideration should be given to the type of question.
 - Closed questions are easier to mark as an answer is either right or wrong.
 - Multiple choice questions can be easier to mark but care needs to be taken to develop feasible wrong answers.
 - Open-ended questions allow learners to expand on their answers and demonstrate their knowledge and understanding. However, there needs to be clarity during development about which aspects of the answer will achieve which marks.
- **Language and stimulus materials.** Language should be clear and straightforward and should not be at a level which is higher than that required by the unit. Compound sentences may lead to misinterpretation by learners and be difficult to mark.
- **Must not cause offence or disadvantage.** Questions should not cause offence to groups of learners. They should not cause an unreasonable disadvantage to the level of attainment that can be gained by groups of learners.
- **Technically correct language.** Questions should use the correct technical terms for the level and content of the qualification.

- **Allow scope for learners to exceed learning outcomes.** Inclusion of a sufficient range of questions will allow for differentiation when applying grading criteria. They should range from some which meet the pass criteria, right through to more difficult ones which align with the merit and distinction criteria. Please refer to the Marking Descriptors in the appropriate Qualification Syllabus for details of content at different levels of attainment.

Exams should be administered in ways that ensure the results are valid and reliable. When administering exams centres should consider the following:

- **Avoid plagiarism.** Centres may reuse questions from previous years, but in each case, there should be a minimum of a third of new questions to ensure sufficient difference in the exams presented to different cohorts of learners and for any re-sits. When using exams over time, centres are encouraged to create a bank of questions for this purpose.
- **Avoid malpractice.** When administering exams, centres must ensure that arrangements are in place to avoid learner malpractice. This includes:
 - Exam papers being developed by centre staff other than the learners' tutors,
 - exam papers being stored securely before exams,
 - systems being in place to ensure that exams are completed by the learners on the course themselves. This last point is particularly important if exams are administered online.
- **Exam conditions must meet the requirements of the Equalities Act.** They must allow for reasonable adjustments or special considerations to be applied for learners who require them. Please see the Reasonable Adjustments and Special Considerations section of this guidance document for examples.

12.7. [Records of assessment outcomes](#)

The Awarding Organisation requests that centres retain learners' assessed work for one year to ensure documentation is available for previously certificated cohorts for external moderation.

12.8. [Records of adjustments to assessment](#)

Approved centres should keep records of adjustments they have permitted and those they have requested from the CIOB Awarding Organisation. Approved centres should also keep records of their decisions to permit adjustments to assessments. The documentation should include the supporting evidence as listed below:

The supporting evidence should include the following.

- Assessment decisions.
- Internal verification records.
- External moderation documentation.
- Certification claim forms.
- RASC requests.
- Appeals.

13. GRADING

13.1. Grades

The CIOB Awarding Organisation specifies grades on completion of its qualifications. Unit grades are awarded and will appear on the qualification transcript. Grades should **not** be released to the learner until moderation has taken place and the grades confirmed across the cohort (see 13.10).

Grade	Percentage	Grading Points
Distinction	70% plus	Three points
Merit	60% - 69%	Two points
Pass	40% - 59%	1 point
Fail	39% and below	0 points
Exemption		1 point

13.2. Applying grades

The tutor awards a grade to the achievement of each unit. Unit grades apply to overall performance of units, including assignments, practical exercises, and coursework. The marking scheme applies to the assessment of assignments only.

The grading points are assigned to each grade to assist the assessor to achieve an overall grade for the completed units and qualifications.

Learners are graded on whole unit achievements rather than individual tasks. All assignments must be graded to allow for the award of an overall unit mark.

13.3. Applying grades to practical assignments

Practical assignments must be graded according to:

- how well the task was completed.
- how well the learner demonstrated knowledge and understanding.
- how well the learner reflected on the assignment and his/her knowledge and understanding of innovation in the sector relevant to the task.

An indicative marking scheme for grading practical assignments can be found in Appendix 1.

13.4. The referral band

Learners who fail an assignment fall into the referral band and are given one opportunity to resubmit. However, they can only be awarded a pass mark on resubmission. Their resubmitted work is subject to internal verification by the centre.

13.5. Applying grades to exempted units

One point is applied to each exempted unit.

13.6. Learners who don't pass

Details of learners who are graded as fail will be entered on the CIOB database for regulatory information.

13.7. Applying grades retrospectively

Grades cannot be applied retrospectively, as assessed, and moderated work cannot be reassessed.

13.8. Giving feedback on assessed assignments

There is an expectation that tutors will give detailed constructive feedback on final assessed assignments so that assessments are a means of learning as well as a measure.

Turnitin® gives the option for assessors to mark work online and include grades and comments which can be returned to the learner once all papers have been marked. However, CIOB Moodle provides an area for grading, and this is preferred because of the direct access available for CIOB external moderators.

13.9. Centre assessment standards scrutiny

The moderator will scrutinise grades awarded during the usual moderation visits by sampling. As usual, certificates and transcripts can only be processed after moderation has taken place and confirmed the grade awarded. The external moderator can overturn grading and reapply if there are inconsistencies or if the qualifications criterion has not been met.

13.10. Interim sampling for certification claims outside moderation cycle

Every cohort of learners must be sampled even for low risk level centres. Centres who claim outside the moderation cycle will require interim sampling via Moodle between moderation visits to ensure consistent and reliable results throughout. This should take place, prior to time of certification and the following five points followed:

1. Centres are requested to copy their moderator into all such claims and confirm if individual student claims have or have not been internally verified. If necessary, the information will also include the exact location on the centre's platform, the student's assessed work and assessment records.
2. The moderator will normally sample from the students submitted work having been assessed and IV sampled.
3. In addition, the moderator will have access to at least one (for a low-risk centre and more for higher risk centres), from the student's submitted work having been assessed but not internally verified.
4. The moderator reserves the right to conduct additional sampling but only if anomalies are detected or suspected or it is requested to do so by the CIOB.
5. This protocol applies to both the Certificate and Diploma programmes where each require separate external moderator sampling.

Centres are required to provide the following for interim sampling:

- Assignment briefs are used to produce the learner evidence for a unit, if different from those provided by the CIOB.
- Proof of authenticity by the learner, completed signed declaration.
- Turnitin® report.
- Completed assignment work for unit.
- Assessment decisions for the learner work and feedback.
- Tutor confirmation of authenticity.
- Internal verification documentation relating to the learners' assignment assessment decisions.
- Internal verifier feedback.
- Evidence of referred work and resubmissions.
- Initial assessment documentation.

Moderator's feedback on interim sampled work shall be provided within the relevant part of the report form.

13.11. Borderline cases

The centre should follow its procedures for internally verifying borderline results.

13.12. If a candidate is not satisfied with the grade

The centre should deal with all such cases through its own enquiry procedure and/or appeals procedure where marking procedures have not been followed or errors have been made when calculating marks. All learners have the right to appeal an assessment decision under the CIOB AO appeals policy.

14. COMPLAINTS AND APPEALS

14.1. Centre complaints process

Complaints are an expression of personal dissatisfaction. Centre policies and procedures are required to be sufficiently rigorous to meet the conditions of recognition of both CIOB awarding organisation and the regulator. Investigations must be robust, free from bias and conducted in line with current policies. Outcomes must be accurately recorded and communicated.

14.2. CIOB complaints process

The CIOB complaints process will be assessed once the centre's internal complaints process has been exhausted. Examples of complaints that may be investigated by the awarding organisation are listed below.

- Centre assessment decisions, including the application of assessment criteria by the centre.
- Centre quality assurance procedures, including the failure by a centre to monitor the performance of centre staff.
- Centre complaints procedures, including the handling of appeals against centre decisions.
- Centre procedures for inclusion, diversity, and equal opportunities, including making requests for access to fair assessment for learners with requirements.
- The quality of training or teaching provided to learners by centres.
- Centres decision to withdraw from qualifications delivery without ensuring learners have alternative arrangements to complete their studies.
- Learner malpractice, including allegations of malpractice by learners.
- Centre malpractice, including allegations of malpractice by centre staff.

14.3. Complaints about CIOB standards of service

Complaints against CIOB Awarding Organisation should be directed to the CIOB. Details of CIOB Awarding Organisation institute-wide complaints policy can be obtained from the following link:

<https://www.ciob.org/sites/default/files/Service%20Complaints%20Policy%20-%20CIOB.pdf>

For centre complaints about CIOB standards of service, CIOB will do the following.

- Take all complaints seriously.
- Follow our published procedure for dealing with complaints.
- Resolve the problem within the timescales set out with our complaints policy.
- Apologise if the complaint is upheld.

If centres feel their complaint requires escalation or are not happy with the outcome, they may be able to appeal.

14.4. Appeals process

The CIOB as an Awarding Organisation has comprehensive and rigorous quality assurance procedures in place for maintaining the standards of its qualifications and their delivery. Appeals and malpractice procedures will target both the learners and centre staff. If these systems are deemed to have failed, an appeal may be made to the CIOB. The Institute is committed to ensuring that the services of its approved centres or appointed representatives are conducted in an equitable, rigorous, and effective manner always.

The CIOB strives to ensure that the quality and integrity of its awards are maintained. However, there may be incidents which require an investigation of the quality systems and procedures. The appeals procedure allows centres and learners to enquire about or appeal against decisions or outcomes.

The CIOB will treat all appeals with equal importance and consideration. It understands the need to ensure that appeals are dealt with in a thorough and equitable manner. The Awarding Organisations appeals process will be accessed once the centres internal appeals process has been exhausted.

Centre policies and procedures for dealing with appeals are required to be sufficiently rigorous to meet the Awarding Organisation and regulatory conditions of recognition. Staff and learners should understand the following.

- What comprises as an appeal and what is regarded as assessment malpractice.
- The process for instigating an appeal or investigating malpractice.
- The possible outcomes that could be reached.
- The effect of outcomes.
- The systems for recording and managing appeals.
- Reporting mechanisms.

Appeals should be made in writing along with reasons for appealing, in line with CIOB Member and Customer Service Charter.

The CIOB has a Grievance and Appeals Board which will consider appeals made against the Institute, its members, or its processes, excluding those relating to professional conduct as detailed above. The board shall have powers of remedy where they conclude that there has been an incorrect application of procedure or process. The board is comprised of ten corporate members representing, as far as possible, a balance between regions, disciplines, gender, and race. It will make a final decision about the appeal and recommend a review of any processes or procedures which, in the opinion of the board, do not meet acceptable standards of best practice. The board will report to the Audit and Risk Committee.

Following this, centres will be informed of the outcome in writing within CIOB outlined specified timescale.

15. CERTIFICATION

15.1. Learner certification timescale

Certification cannot be claimed until learners have successfully completed the course unless unit certification is being claimed. Certification release must also have been approved via moderation prior to any claim. In addition, each qualification has minimum completion timescales from registration to certification meaning that certificates cannot be issued during this time. These are different for each qualification and are shown in each qualification syllabus.

15.2. Learner certifications claim form and exemption information

It is important to ensure the most updated version of certification claim forms is being used. Certification claim forms are available via Moodle (centres are provided with access to Moodle on approval) or from CIOB Education Department by sending an email to awardingorg@ciob.org.uk. Certification claims that are completed on old versions of the forms will be returned to the tutor for resubmission on the correct form.

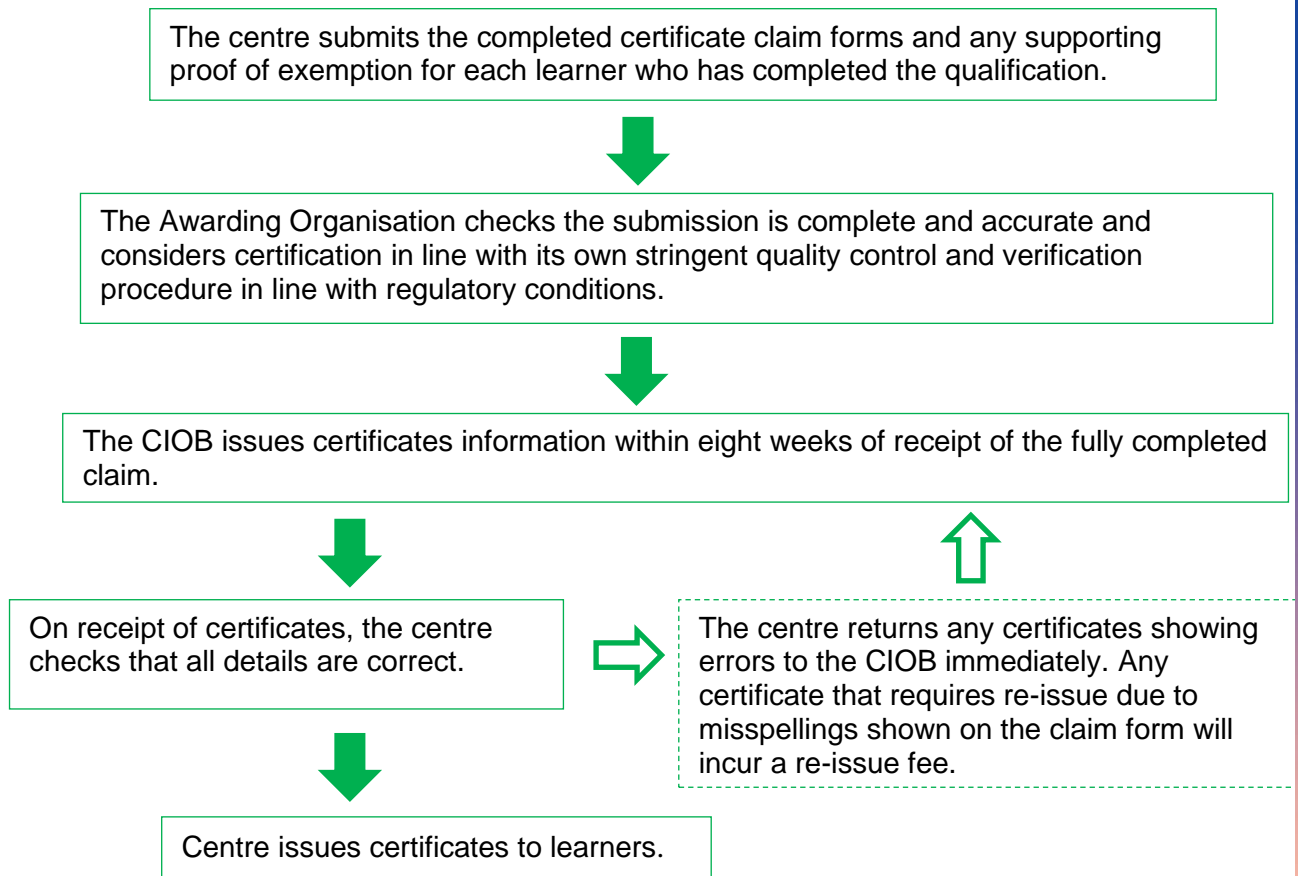
Centres are required to submit the signed certification claim form confirming learner award details. Completed forms must comply with the following:

- **Contain accurate learner details.** Each completed form must have accurate learner details, their cohort, and how the learner wishes his/her name to appear on the award. Any certificate that requires re-issue due to misspellings shown on the claim form will incur a re-issue fee.
- **List only completed units.** Only those units completed as part of the qualification being claimed may be listed. Where a learner already has certification for a qualification which they are using as exemption, proof of attainment of this qualification must be provided but the units within it must not be listed on the certification claim form.
- **Be completed in full.** Forms that are not fully completed will be sent back and will delay the claiming process.
- **Be signed by the appropriate person.** This might be the qualification leader/head of department or course leader. Any signatures in question will be verified. Forms that are not signed will be sent back and will delay the claiming process.
- **Be received from the course tutor.** This is to retain an audit trail. The CIOB will not accept a claim form sent by a learner.

Centres must also provide proof of exemption, when relevant. A copy of the alternative award must be provided for each learner as proof of completion. This can be for either of the following.

- **Prelisted exemption.** This must be listed as an accepted exemption in the qualification syllabus.
- **Preagreed exemption.** This must have been identified during learner registration and agreed to as a valid exemption by the CIOB Awarding Organisation. Please see section Exemptions for more information.

15.3. Learner certification process



15.4. Learner certification reissue fee

A reissue fee will be added to the centre's invoice for any certificate that requires re-issue due to misspellings shown on the claim form or loss of certification. Fee information is published annually and can be downloaded from the CIOB website <https://www.ciob.org/learning-centres/becoming-ciob-approved-qualification-centre>.

15.5. Aegrotat awards

The CIOB Awarding Organisation does not grant aegrotat or posthumous awards.

The Awarding Organisation will award certification for those units that have been successfully completed by a learner. The centre must, in every instance, submit a certificate claim form to request an award.

16. INTERNAL VERIFICATION

CIOB Awarding Organisation is committed to ensuring that the standards of its qualifications are maintained at a national level. The centre's provision of an effective internal verification system is designed to achieve this requirement. All centres are required to appoint an internal verifier as part of the CIOB quality assurance process and to maintain managed and auditable records for production during the external moderation inspection.

16.1. Competence, qualifications, and experience of internal verifiers

Internal verifiers should be competent in the following areas.

- Delivery of the specific course modules.
- Have a comprehensive understanding of assessment and verification methods and criteria.
- Have suitable industrial experience relating to course provision.
- Teaching qualifications and/or experience as appropriate.

The qualification levels and experience required to be an internal verifier are specified in more detail in the document CIOB Centre Assessment Standards Scrutiny Strategy (CASS). This can also be accessed on CIOB Moodle or by emailing awardingorg@ciob.org.uk.

16.2. The role of the internal verifier

The internal verifier is responsible for developing and maintaining a quality assurance system within the approved centre to ensure learners are assessed fairly and accurately. They are required to monitor and regulate the assessment process and marking arrangements within the approved centre to ensure a consistent approach. The development of a continuous and rigorous procedure is a key factor in the management of risk, ensuring that when certification is claimed for a learner, it reliably reflects the achievement of national standards.

There are three main aspects of the internal verification role.

- Verifying assessment.
- Developing and supporting assessors.
- Managing quality of course delivery.

The internal verifier is appointed by the centre and must ensure that both assessors and tutors are suitably qualified to assess CIOB courses.

16.3. The responsibilities of the internal verifier

The Internal Verifier will do the following.

- Ensure that a schedule is in place and operational.
- Check the quality of assessment instruments are fit for purpose.
- Advise on the interpretation of the subject area.
- Coordinate assessment arrangements.
- Assure an effective system of recording learner achievement is in place.
- Keep records of the verification process.
- Liaise with awarding organisation external moderators.
- Provide advice and support to assessors on a regular basis, covering all assessors and all units.
- Advise on the appropriateness of assessment evidence with regard to level, sufficiency, authenticity, validity and consistency.
- Use subject specialism to sample assessments to verify assessors' judgements.
- Arrange standardisation meetings.
- Check the quality of assessment to ensure that it is consistent, fair and reliable.
- Ensure your own assessment decisions are sampled by another internal verifier when teaching on the qualification.
- Monitor and advise on assessment decisions by sampling.
- Give qualification team decisions and feedback on sampling.
- Ensure appropriate action is taken when necessary.
- Take part in the formal stages of an appeal.
- Advise the qualification team on any training needs.
- Provide feedback on aspects of the assessment system to the qualification team.

16.4. The verification plan

It is the internal verifier's responsibility to develop an internal verification plan. The plan for internal verification is essential and should cover two aspects.

- Teaching timetable and allocation of units.
- Details of learner registrations and units being taken and when.

It is important that internal verification is conducted as an on-going process applied throughout the duration of the course and not end-loaded. This ensures that internal verification is benchmarked consistently throughout the period against learner performance.

16.5. Developing an internal verification sample

When considering the size of the sample at the start of the course, your internal verification plan should give you a clear indication of what would be appropriate. Changes can be implemented at any time within the timescale of the plan, but the sample should give an accurate picture of the quality of assessment in the centre. A well-constructed sample should ensure the following.

- The full range of assessment decisions made is covered.
- External moderator or assessors feedback from previous years is considered.
- The experience of the assessor/tutor is considered.
- The sample size is sufficient.

16.6. Interim internal sampling

This procedure entails a review of the assessment process throughout the course, including a review of learners' work before decisions on any unit are made and looking at course work with one or two completed units. This will also involve checking the progress review report given to learners by assessors. This will enable the internal verifier to determine the quality of general guidance on assessment and assessment planning.

This interim internal verification system will allow problems with assessment to be evaluated at an early stage and identify assessor training or development needs.

The internal verifier should also ensure that tutor feedback to learners is constructive and assists them to gauge their abilities and progression.

16.7. Summative internal sampling

This should involve a review of the assessors' decision-making process and determine how this was achieved. An audit trail is required to ensure that assessors have checked evidence provided, which should meet the following.

- Valid – relevant to standards.
- Authentic – produced by the learner.
- Reliable – reflecting level of performance consistently demonstrated by the learner.
- Sufficient – meets standards in full.

16.8. Records of internal verification outcomes

Internal verification details should be maintained within a course file for availability at external moderation. Actions should be discussed with the assessors and problems highlighted. The internal verifier and assessor are required to sign the completed report. Verification reports should also be discussed by the course team at meetings with records of meetings being held within the course file. Centres are responsible for ensuring that sufficient information of learners' assessment decisions and internal verification records are retained for a period no less than five years, from the time of qualification

completion. This will enable centres and the Awarding Organisation to track and monitor the learners' progression of achievement.

17. MODERATION

The CIOB is committed to ensuring that the standard of its qualifications is maintained at a national level. The moderation system forms part of the CIOB quality assurance procedure and supports the maintenance of its qualification standards. To ensure the process is delivering the necessary level and rigour of internal verification, the CIOB will conduct annual inspections. Through an auditing process, moderation applies a level of rigour to ensure that course administration, assessment and delivery is undertaken in an accurate and consistent, manner across CIOB approved centres. Satisfactory moderation confirms continuous approval status of the centre.

17.1. Moderators

Moderators are appointed to each CIOB approved centre to undertake moderation. Moderators check the following.

- Course administration, assessment and delivery is undertaken in a consistent manner across CIOB approved centres.
- Each centre is maintaining the standards set by the Awarding Organisation, their regulators, and the centre submission agreement to remain compliant and to continue delivering CIOB qualifications.
- Assessments are clear in aims, achievable within the time frame, rigorous, equitable and appropriate in level and subject matter.
- The interests of learners are protected.

External moderators are available to provide advice where appropriate and may also assist at centre events relating to the Awarding Organisation.

17.2. CIOB first moderator visit

Following centre approval, each centre is assigned an external moderator. This is likely to be one of the people involved with centre approval, as they will already have a good understanding of the centre's systems and processes. A newly approved centre will receive a planned visit by their external moderator after completion of the first unit by learners or within two months of running. This is to offer support and to ensure their delivery is in line with CIOB requirements.

17.3. Ongoing moderation

CIOB Moderators are responsible for monitoring the following.

- Compliance with statutory regulations.
- CIOB quality assurance procedures.
- Assessment criteria.
- Centre resources.

Approved centres will be monitored annually throughout their approval via:

- Moderation reports.
- Internal CIOB reports to AOCP.
- Direct feedback from randomly selected learners to the CIOB.
- Direct feedback from randomly selected employers to the CIOB.

Approval will continue unless:

- The moderator feels it necessary to impose sanctions and certification is withdrawn by the awarding organisation.
- learner registrations lapse for a period of three years. In this case, a centre will need to re-apply.

17.4. Moderation inspections

Inspections are undertaken annually. The review is carried out generally mid-way through the academic year to provide the centre with sufficient time to commence the qualification delivery, and to adequately prepare for the moderation inspection. It also allows for any procedural issues to be dealt with by course tutors, so avoiding any long-term damage to the structure or content of course provision. The exact frequency and duration of moderation visits will reflect the centre's performance and the volume and throughput of learners. Additional visits throughout the year may be necessary to monitor centre progress in complying with criteria, or to provide support on an urgent issue. Additional visits may incur a separate fee.

The process of moderation will normally be a full day of inspection of systems and processes. Additional time may be required should this be the initial visit or an inspection to follow up sanctions. Before the visit, the external moderator will contact the centre to agree the date and scope of the visit, any documents to be reviewed and any sampling activities that will take place.

17.5. Centre assessment standards scrutiny for moderation

The centre will need to provide the external moderator with a list of registered learners and previous certifications. This information will be used by the external moderator to select the samples for scrutiny. The sampling of assessments can take place remotely via the CIOB online learning portal Moodle or during the visit.

17.6. Information for CIOB standardisation

CIOB Moderators are trained annually by the CIOB to ensure continual awareness of regulatory requirements and to provide a consistent approach and equality of inspection across all CIOB Approved Centres. To comply with regulatory standards, samples of marked and internally verified assignments and a copy of the Internal Verification Plan are required. Centres must ensure these are available within CIOB Moodle to download.

17.7. Learner feedback

The CIOB Awarding Organisation is committed to the quality of its qualifications and welcomes all learners' comments, views and feedback about the delivery of CIOB qualifications. Centres can assist by asking learners to complete the CIOB Awarding Organisation Learner Satisfaction Survey. Surveys are sent to learners individually via a secure survey platform.

18. EQUALITY AND DIVERSITY

CIOB Awarding Organisation is committed to ensuring that all courses leading to CIOB qualifications are accessible to all learners who wish to take them.

The Awarding Organisation opposes all forms of unlawful and unfair discrimination. It is a requirement that approved centres delivering CIOB qualifications provide equality and fairness to all learners and do not discriminate on grounds of gender, marital status, race, ethnic origin, disability, sexual orientation, religion, or age.

Centres are required to ensure that there are no unnecessary barriers to access or to learning, and that the course content and structure are non-discriminatory, and that the special needs of individual learners are met both in terms of learning and of assessment. Please refer to the Equality and Diversity policy as published.

CIOB Awarding Organisation requires the approved centre to do the following.

- Have systems in place addressing inequalities and barriers leading to discrimination between people of different religions and beliefs, racial groups, ages, marital/civil partnership status and sexual orientations between men and women generally; between disabled and non-disabled people; between persons of different political opinion; between those with dependents and those without; or on any other grounds or status.
- Gather data in relation to equality and diversity.
- Monitor and respond to the data.
- Have an equality and diversity policy embedded within all centre functions compliant with current equalities laws.

CIOB Awarding Organisation recommends centres support learners in the following ways.

- Diagnostic testing of the learner to identify the level of numeric and literacy skills to establish any support required.
- Assessing the preferred learning style of the learner.
- Identifying any barriers to learning for a learner and referring the learner to the equality and diversity manager or equivalent personnel.

CIOB Awarding Organisation reviews the centre's measures for equality and diversity, how they are evaluated and or analysed and the current set action plan at the external moderators' visits to the centre. The external moderator will also request the equality and diversity data gathered by the centre for purposes of monitoring by the Awarding Organisation. If a centre has a steering group covering equality and diversity in place, the external moderator will request copies of the meeting minutes and/or terms of reference for Awarding Organisation records.

If a centre receives a complaint from a learner where they feel they have been disadvantaged, the Awarding Organisation must be notified and provided with the centre's recommendations. If a learner feels that the centre somehow has not met their requirements for equality and diversity, learners are requested to follow the CIOB appeals procedure. If no actions for reasonable adjustments or special considerations is implemented were practicable, a learner could be disadvantaged, and the Awarding Organisation may take appropriate action if a centre is found to be failing in terms of equality and diversity.

The following penalties may be implemented on agreement of the AOCF.

- Sanctions would be imposed and reviewed by a specified deadline.
- Withdrawal of certification.

Further information on equality, diversity and the Disability Discrimination Act, visit the Equality and Human Rights Commission website www.equalityhumanrights.com Also further information can be found within the assessment section in the procedural and guidance documentation.

19. CONFIDENTIALITY AND DATA PROTECTION

19.1. Confidential information

The content of the CIOB Awarding Organisation business is confidential and is therefore stated within the terms of reference as such. Centres should not release information about the business of the awarding organisation to any third parties without prior consent from the CIOB Head of Qualifications and Responsible Officer. The term confidential information shall extend to all forms of representation, present and anticipated creations, developments, research and functions, documentation and correspondence.

Those found in breach of the agreement will be referred to the procedures for malpractice and appropriate action shall be taken.

19.2. Confidentiality rules for awarding organisation meetings

These confidentiality rules will apply to all meetings and working documents of the Awarding Organisation Compliance Panel and any working groups associated with the CIOB Awarding Organisation.

Confidential information may be presented at meetings and all members or those involved with awarding organisation business, and occasionally observers, will be expected to sign a Confidentiality Agreement agreeing with the terms and conditions in stating that such information will not be revealed to anyone without the consent of the CIOB Head of Qualifications and Responsible Officer. The Confidentiality Agreement is available to approved centres via CIOB Moodle and may also be requested by contacting: awardingorg@ciob.org.uk.

19.3. Data protection

The CIOB takes the privacy and security of our members' and approved centres' data seriously and takes all the necessary steps to comply with the Data Protection Act 2018 <https://www.gov.uk/data-protection>. The CIOB holds and processes information about its members, non-members, employees, and other individuals. This personal information is used by the CIOB for a variety of purposes including staff administration, advertising, marketing and public relations, accounts and records, training, consultancy and advisory services, administration of membership records, and journalism and media.

The CIOB Awarding Organisation aims to collect personal information for the sole purpose of carrying out its proper business and organisational functions and undertakes to retain the information only as long as those purposes remain valid. The CIOB Awarding Organisation undertakes not to disclose personal information relating to an individual to any third party without the individual's express consent.

Generally, information is received directly from members and centres. The amount of data held will vary according to the members' professional status and employment situation or the centre information acquired at each external moderators' visit.

- Data is treated with the strictest of confidence.
- Data is kept on a confidential database and within individual approved centre files and will not be given out to other members or parties. CIOB Awarding Organisation does not pass on personal data to anyone unless prior consent is received.
- CIOB staff are fully trained on the membership database before alterations to members' or centre records can be made.

19.4. General Data Protection Regulation and Data Protection UK

The information provided will be processed in accordance with data protection principles as set out in the Data Protection Act 2018. Data will be processed only to ensure that all those involved with the awarding organisation act in the best interests of the organisation. The information provided will not be used for any other purpose.

All staff are responsible for ensuring that the procedures set out by the CIOB in relation to Data Protection Compliance are always followed. The CIOB has developed the Data Protection Guidelines, outlining the responsibilities of Data Users. Further information on Data Protection can be found within the Chartered Institute of Building - Data Protection Policy and Guidelines.

20. CONFLICTS OF INTEREST

It is inevitable that conflicts of interest occur. It is a priority to identify and manage conflicts of interest to ensure that no adverse effects occur. Failure to declare an interest could justify disciplinary action.

20.1. Identifying conflicts of interest

A conflict of interest is any situation where personal interests, or interests that are owed to another body, may (or may appear to) influence or affect decision making. It is considered that a conflict of interest exists when an informed and reasonable observer would conclude that either of the following situations occur.

- The awarding organisations' interests in an activity undertaken by it, on its behalf, or by a member of its group (including its centres) to have the potential to lead it to act contrary to its interests in the development, delivery, and award of qualifications in accordance with its condition of recognition.
- A person who is connected to the development, delivery, or award of qualifications by the awarding organisation has interests in any other activity which have the potential to lead that person to act contrary to his or her interests in that development, delivery or award in accordance with the awarding organisation's condition of recognition.

Conflicts of interest may involve direct financial gain or personal benefit to the person, which might include the following.

- Payment to a member for services provided using the CIOB Awarding Organisation.
- Centre verification where an individual external moderator has personal interest within a Centre or learner such as family members or friends.
- When confidential information is disclosed to the benefit of another party or parties.
- Conflict of loyalties, such as when a member has personal interests in the outcomes of assessment such as training companies.

The CIOB Awarding Organisation expects associates (including centre staff) to be able to identify conflicts of interest when they arise and to ensure, if they receive any material benefit, or benefit of another body because of the conflict of interest, that the benefit is authorised. CIOB Awarding Organisation will only provide authority where there are clear advantages to the Awarding Organisation.

20.2. Examples of conflicts of interest

John Grey is an External Moderator for Englemere College. His son is enrolled on the course at Englemere College. John begins to carry out his EV session and is given his son's assignment to verify. John's son failed by only 1 mark. John has a conflict of interest and must not assess his son's work.

Kate Brown is a teacher at a centre. A learner has made a complaint about Kate's teaching. Kate is aware of this. She is asked to assess the learner's work. Kate has a conflict of interest because the complaint could cloud her judgement.

Mary Green is a member of the Qualifications Development Group and in addition she has a training company providing the qualification. Mary is asked to produce the assignments for the awarding body. Mary has a conflict of interest because she is a centre, and this could adversely influence how she produces the assignments.

Alex Black is an External Moderator for several centres. He is asked to cover another centre where he previously worked. Alex has a lot of friends at this centre. Alex has a

conflict of interest because his friendship may conflict with his external moderation responsibilities.

20.3. Managing and monitoring potential conflicts of interest

All associates (including centre staff) need to be alert to possible conflicts of interest, and to act to minimise their effects. It is key to be open and transparent about such situations when they arise and take action to minimise them. CIOB Awarding Organisation should be advised promptly of any actual or potential conflicts of interest, and any actions taken to deal with them as soon as they become apparent. They should be reported on the Declaration of Conflict-of-Interest Form. This is available to approved centres via CIOB Moodle and may also be requested by contacting: awardingorg@ciob.org.uk. A register of interests will be held by the CIOB Awarding Organisation and will be regularly updated by the Quality Coordinator.

CIOB Awarding Organisation is required to manage any potential conflicts of interest that are reported to it. This might include the following.

- The removal of the member from a meeting when an item of conflict arises on the agenda.
- The removal of the member concerned from the decision-making process.
- Prohibiting an external moderator from visiting or contacting a centre.
- Holding and monitoring the register of declared conflicts of interest.
- Where a conflict of interest emerges after an assessment has been made, the awarding organisation must be informed immediately to take remedial action.
- Prohibiting a submissions assessor panel member from being involved in an approval.
- Monitoring the conflict of interest once a decision has been made.
- Recording details of the discussions and decisions made.
- Updating the interests register.

The awarding organisation will monitor and update its conflict-of-interest policy to ensure it meets regulatory, statutory, and legal requirements.

20.4. Consequences of unmanaged conflict of interest

The ultimate consequence of unmanaged conflict of interest is non-compliance with the regulatory criteria for awarding organisations. Cases where it appears that people have deliberately placed self-interest ahead of those of the awarding organisation to gain significant benefit at the expense of the awarding organisation, will be investigated and acted upon at the necessary level.

An unmanaged conflict could adversely affect the way that CIOB Awarding Organisation operates, its reputation and confidence in the services offered. For this reason, all cases of conflict of interest occurring will be investigated and adjudicated under the CIOB Professional Conduct Committee.

When dealing with conflicts of interest, the awarding organisation will be aware of how the situation may appear to someone from outside the organisation, and make sure that a policy and procedures are in place which will allow the awarding organisation to demonstrate that such situations have been dealt with properly.

20.5. Dealing with a conflict of interest

If someone is involved with CIOB qualifications, and it is realised that there is an area of conflict of interest, it is essential to notify the CIOB Awarding Organisation, particularly if a significant breach of trust has occurred. Failure to notify the CIOB of such an event could result in a professional conduct disciplinary. Written notification should include an explanation of why the breach of trust occurred and any adverse consequences. The details of the incident will be reported to the CIOB Professional Conduct Committee,

where a member is involved. The CIOB Awarding Organisation Compliance Panel will review procedures to prevent a similar situation occurring in the future.

CIOB Awarding Organisation must be notified in the following situations.

- You have any direct or indirect interest in any teaching institution, training organisation, regulatory or industry organisation or company which has relevancy to the dealings and functions of the CIOB Awarding Organisation.
- You are closely related to or known to any person taking part in awarding organisation services.
- You receive scripts or other forms of work submitted for assessment from learners who are known to you.
- You are related to any person who is a director, employee or contractor of CIOB.
- Your work for CIOB would be affected by a personal interest or personal association in some other way.

20.6. Resolving conflict of interest

Where areas of conflict of interest have been identified and notified to the awarding organisation, to limit the adverse effects to the organisation, reasonable steps must be taken to ensure this is corrected, therefore members of the AOCB will discuss the appropriate method of mitigation and correct any potential adverse effect. The register of interest will then be updated, and the resolution noted.

The CIOB Chief Operating Officer and the Head of Qualifications will sign the *record of resolution form* to confirm the accepted decision and outcome.

21. MALPRACTICE AND MALADMINISTRATION

21.1. Definitions

Malpractice and maladministration cover any actions, neglect, default, or other practice that result in the centre or learner not complying with the specified requirements for delivery of the qualifications as set out in the relevant codes of practice. They may range from the failure to maintain appropriate records or systems to the deliberate falsification of records to claim certificates. In general terms malpractice is intentional whereas maladministration is not. Failure by a centre to deal with any identified issue may also constitute malpractice.

21.2. The impact of malpractice and maladministration

Malpractice and maladministration can compromise any of the following.

- The assessment processes.
- The integrity of a regulated qualification.
- The validity of a result or certificate.
- The reputation and credibility of the awarding body.
- The qualification or the wider qualifications community.

Malpractice is not tolerated by CIOB awarding organisation. Appeals and malpractice procedures will be applied to both learners and centre staff alike when appropriate. Malpractice issues will be addressed by ensuring processes are in place, for example: plagiarism, collusion, fabrication of results, falsifying grades and fraudulent certification claims.

21.3. Centre malpractice and maladministration

'Centre staff malpractice and maladministration' are committed by a member of staff (or contractor) at a centre. Some examples are listed below.

- A breach of security (e.g. failure to keep exam material secure, tampering with coursework etc.).
- Deception (e.g. manufacturing evidence of competence, fabricating assessment, or internal verification records).
- Improper assistance to learners (e.g. permitting the use of a reasonable adjustment over and above the extent permitted by awarding body policy, prompting learners in assessments by means of signs or verbal or written prompts).
- Failure to adhere to regulations/awarding body stated requirements.
- Insecure storage of assessment instruments and marking guidance.
- Misuse of assessments, including inappropriate adjustments to assessment decisions.
- Failure to comply with requirements for accurate and safe retention of learner evidence, assessment, and internal verification records.
- Failure to comply with awarding organisation procedures for managing and transferring accurate learner data.
- Excessive direction from assessors to learners on how to meet national standards.
- Deliberate falsification of records to claim certificates.

21.4. Learner malpractice

Learner malpractice is committed by a learner. Centres are to follow their own policies and procedures in the case of learner malpractice until this has been fully exhausted.

Malpractice by a learner in an internal assessment can occur in the following situations.

- The compilation of portfolios of internal assessment evidence.
- The presentation of practical work.
- The preparation and authentication of coursework.
- Conduct during an internal assessment.
- Conduct during an external assessment.

Some examples of learner malpractice are listed below. This is not an exhaustive list.

- Plagiarism failure to acknowledge sources properly and/or the submission of another person's work as if it were the learner's own.
- Collusion with others when an assessment must be completed by individual learners.
- Copying from another learner (including using Information and Communication Technology (ICT) to do so).
- Impersonation assuming the identity of another learner or having someone assume your identity during an assessment.
- Inclusion of inappropriate, offensive, discriminatory, or obscene material in assessment evidence. This includes vulgarity and swearing that is outside of the context of the assessment, or any material of a discriminatory nature (including racism, sexism, and homophobia).
- Inappropriate behaviour during an internal assessment that causes disruption to others. This includes shouting and/or aggressive behaviour or language and having an unauthorised electronic device that causes a disturbance in the examination room.
- Frivolous content producing content that is unrelated to the examination paper/question in scripts or coursework.
- Unauthorised aids physical possession of unauthorised materials (including mobile phones, MP3 players, notes, etc.) in the examination room.

21.5. Roles and responsibilities for preventing and dealing with malpractice

The CIOB Awarding Organisation.

- Take all reasonable steps to prevent any malpractice or maladministration.
- Ensure written up to date procedures are in place for the investigation of suspected or alleged malpractice or maladministration.
- Investigate suspected or alleged malpractice or maladministration.
- Carry out or oversee investigations of cases (or suspected cases) of malpractice/maladministration and establish whether it has occurred.
- Promptly take all reasonable steps to prevent (or mitigate) any adverse effects arising from the malpractice/maladministration.
- Keep under review the arrangements put in place by centres for preventing and investigating malpractice and maladministration.
- Provide guidance to centres (upon request) as to how best to prevent, investigate, and deal with malpractice and maladministration.
- Take steps to prevent any malpractice or maladministration from recurring.
- Take appropriate and proportionate action against those who are responsible for malpractice/maladministration.
- Apply appropriate sanctions in line with the published sanctions policy.
- Inform centres and other awarding bodies of malpractice/maladministration, as appropriate.
- Report the incident to regulators, where appropriate.
- Report the matter to the police, where a suspected criminal act has been committed (consideration will be taken when it is appropriate to notify the police, especially where the malpractice has led to fraud).

Centres/ centre staff.

- Complying with published awarding organisation's malpractice procedures.
- Taking reasonable steps to prevent malpractice/ maladministration from arising.
- Advising learners of the awarding organisation's policy on malpractice/maladministration during their induction.
- Implementing systems and procedures for recording all suspected instances of learner malpractice and making this information available to the awarding organisation during quality assurance activities on site and/or on request.
- Being vigilant to possible instances of malpractice and maladministration.
- Notifying the awarding organisation of any incidents of malpractice/maladministration as required by the awarding organisation's policies.
- Assisting with the awarding organisation's requests for information.
- Co-operating with the awarding organisation malpractice/maladministration investigations.
- Carrying out investigations of malpractice under the guidance of the awarding organisation.
- Implementing any actions required during and after investigation into a case of malpractice.
- Action is required to prevent the recurrence of malpractice/mal administration.

21.6. Preventing malpractice and maladministration

It is always preferable to prevent malpractice/maladministration than to deal with it once it has occurred. Clear and effective systems and procedures should be in place to limit the opportunity for malpractice and the likelihood of maladministration within centres.

The Awarding Organisation will do the following.

- Ensure the head of the centre understands what activity constitutes malpractice and maladministration; their role in preventing it and the need to communicate relevant points to all members of centre staff.
- Develop qualification delivery and assessment systems and procedures that are clearly laid out and communicated plainly to centres.

- Communicate any changes to systems and procedures to centres in a clear and timely manner.
- Ensure monitoring of the in-centre procedure for preventing and dealing with malpractice/maladministration is clearly defined and communicated within the centre.
- Ensure that the external moderation of all centres is carried out regularly and thoroughly.
- Ensure that external moderator visits include the opportunity to review how the in-Centre procedure for preventing and dealing with malpractice/maladministration is working and identify any improvements, where necessary.
- Ensure that the sanctions policy is clearly documented and communicated to all Centres to clearly state what the repercussions of malpractice/maladministration could be.
- Provide support to ensure all centre staff fully understand their role and responsibility.
- Assess the risk posed by each centre in relation to potential for malpractice and maladministration and take appropriate steps in response to that level of perceived risk.
- Identify and share good practice amongst centres to encourage and support high quality delivery and assessment practices.

21.7. Identifying malpractice

CIOB Awarding Organisation ensures appropriate systems and processes are in place to identify malpractice and suspected malpractice.

- At centre level through on-going quality assurance activity and monitoring e.g. internal verification activity.
- At centre level through intelligence, complaints or feedback received e.g. from centre staff, learners etc.
- At awarding organisation level through scheduled quality assurance activity and monitoring e.g. external moderation activity.
- At awarding organisation level through intelligence, complaints or feedback received e.g. from learners, centre staff, whistleblowers, or other stakeholders.
- At awarding organisation level through information from other organisations e.g. other awarding organisations, sector skills councils or funding agencies etc.
- At regulator level through intelligence, complaints or feedback received.

Malpractice/suspected malpractice may be identified by the following people.

- An awarding organisation's external moderators or other quality assurance staff.
- A centre representative.
- A whistle-blower.
- A learner.
- The Regulatory Authorities.
- Other parties such as employers, members of the public and so on.

If a suspected case of malpractice is brought to the awarding organisation's attention by a third party or 'whistle-blower', the awarding organisation may wish to take steps to establish the veracity of the alleged case. This may include writing to the third-party seeking permission to use their name, to communicate the details of the allegation with the centre, and to find out whether the centre's internal procedures have been exhausted. If the 'whistle-blower' does not grant permission to use their name, and the allegation still merits investigation, the awarding organisation will advise the 'whistle-blower' that the scope of the investigation may be impaired, and that the awarding organisation will strive to preserve their anonymity in bringing the matter to the attention of the Head of Centre or their nominee.

Where suspected malpractice/maladministration is brought to the attention of the awarding organisation verbally (either face to face, by telephone or an online meeting) the awarding organisation may wish to request that the allegation is presented in writing

(including by email) before instigating a full investigation. The awarding organisation's approach will be clarified in writing.

Where suspected malpractice/maladministration is brought to the attention of the awarding organisation by a member of centre staff or a learner the awarding organisation will consider, if relevant, how best to protect the informant during and after any investigation activity.

21.8. Awarding organisation course of action

Any allegation of malpractice must be submitted to the Head of Qualifications within 30 days of an alleged act of malpractice being identified. The written allegation of malpractice must contain the following information.

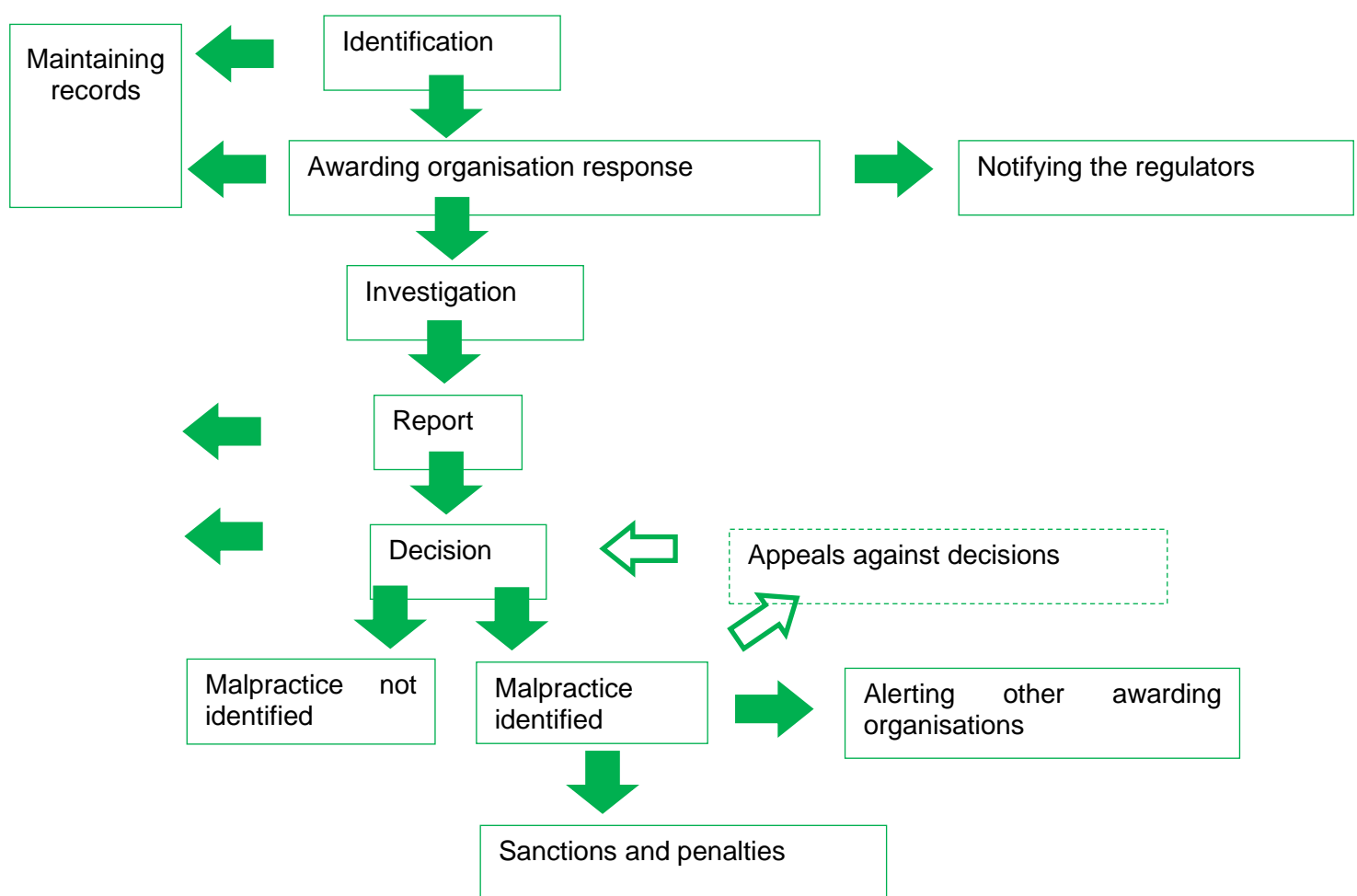
- Name of the person making the allegation of malpractice.
- Name of the person or centre against which the allegation is being made.
- Specific and clear grounds for the allegation of malpractice based upon criteria outlined within the policy documentation.

Details will be acknowledged by the CIOB Awarding Organisation. The person or centre against which an allegation of malpractice has been made will be informed in writing by the Head of Qualifications of the allegation. They will be given an opportunity to respond.

In the event of suspected malpractice, the awarding organisation will review the information presented and decide which of the actions below are appropriate.

- Take no further action.
- Bring the matter to the attention of the head of centre or their nominee, asking them to investigate the alleged malpractice and to produce a written report on the outcome.
- Investigate the matter directly in the case of alleged fraud or in a case of serious threat to the integrity of certification or where a centre does not have the capacity to investigate. The CIOB awarding organisation will appoint someone who is independent of the normal day-to-day working relationships with the centre to carry out the investigation when required.
- Consider whether the Regulators should be notified. (See below).

21.9. Process for dealing with (suspected) malpractice allegations



21.10. Notifying the regulators

In cases where there could be an Adverse Effect, such as cases with alleged fraud or serious threat to the integrity of certification, CIOB Awarding Organisation is required by Condition B3 'Notification of certain events' to escalate the matter to the regulator. Notification will be made by the CIOB Responsible Officer or Senior Officer without delay where an adverse effect has been identified. The CIOB Awarding Organisation and the centre are then required to co-operate fully, providing information, and taking appropriate action.

The following scenarios are provided as a guide to when events could have an adverse effect.

- There is a substantial error in the awarding organisations assessment materials.
- There has been a loss or theft of, or a breach of confidentiality in, any assessment materials.
- The awarding organisation cannot supply assessment materials for a scheduled assessment date.
- There has been a failure in the delivery of an assessment which threatens Assessors' ability to differentiate accurately and consistently between the levels of attainment demonstrated by Learners.
- The awarding organisation will be unable to meet a published date for the issue of results or the award of a qualification.
- The awarding organisation has issued incorrect results or certificates.

- The awarding organisation believes that there has been an incident of malpractice or maladministration, which could either invalidate the award of a qualification which it makes available or could affect another awarding organisation.
- The awarding organisation has (for any reason, whether inside or outside its control) incurred an increase in costs which it anticipates will result in an increase in its fees of significantly more than the rate of inflation.
- The awarding organisation is named as a party in any criminal or civil proceedings or is subjected to a regulatory investigation or sanction by any professional, regulatory, or government body.
- A senior officer of the awarding organisation is a party to criminal proceedings (other than minor driving offences), is subject to any action for disqualification as a company director, or is subject to disciplinary proceedings by any professional, regulatory, or government body.

21.11. Investigating parties

The CIOB Awarding Organisation will conduct any investigation in a fair, reasonable and legal manner, ensuring that all relevant information is considered without bias. The CIOB awarding organisation will adhere to the policies and procedures that relate to the conduct of investigations. When carrying out investigations, CIOB Awarding Organisation will usually aim to deal directly with the Head of Centre or their nominee.

- **Investigations Panel.** Where an allegation of malpractice is made, an investigation will be conducted by an Investigations Panel set up by the CIOB Awarding Organisation Compliance Panel. The Investigations Panel will comprise of three corporate members who are experienced in the quality assurance of internal assessment procedures and will be able to determine the outcome in cases of suspected malpractice. At least one member of the panel shall be independent (not a member of the CIOB Compliance Panel associated with education; a member of the AOCP or its previous Committee; an employee, or examiner, within the past five years). The investigations panel will be formed as soon as possible following receipt of a written malpractice allegation being lodged. Evidence may be collected from the Centre and/or the CIOB Awarding Organisation external moderators and/or from the learner (if applicable).
- **Centre Investigation.** The awarding organisation may request the centre to investigate. Where the CIOB Awarding Organisation requires the Centre to carry out an investigation they will provide the Centre with all relevant guidance and support. The investigation should be carried out by the head of centre, or their nominee as quickly as is possible, and should be consistent with a fair and thorough investigation.
- **Nominated Investigator.** When the CIOB appoints an investigator, they will be independent of normal or day-to-day working relationships with the centre or individual(s) under investigation. The investigator will be fully informed about all CIOB Awarding Organisation policies and procedures.

21.12. Investigation timescales

The timescale for conducting the investigation into allegations of malpractice will be determined by the extent, complexity and specific nature of the issues contained within the allegation submission. All timescales must be notified to each party.

21.13. Objectives and principles of investigations

Investigations into malpractice and suspected malpractice will aim to do the following.

- Establish the facts relating to allegations/complaints to determine whether any irregularities have occurred. It is important to remember that just because an allegation has been made it should not be assumed that malpractice has occurred.

- Establish the facts, circumstances, and scale of the alleged malpractice.
- Identify the cause of the irregularities and those involved.
- Identify and, if necessary, take action to minimise the risk to current learners and requests for certification.
- Evaluate any action already taken by the centre.
- Determine whether remedial action is required to reduce the risk to current learners and to preserve the integrity of the qualification.
- Ascertain whether any action is required in respect of certificates already issued.
- Obtain evidence to support any sanctions to be applied to the centre, and/or to members of staff, in accordance with awarding organisation procedures.
- Identify any patterns or trends.
- Identify any changes to policy or procedure that need to be made by the awarding organisation and/or the centre(s).

During any investigation the following principles will be adhered to.

- **Confidentiality.** By their very nature investigations usually necessitate access to information that is confidential to a centre or individuals. All material collected as part of an investigation must be kept secure and not normally disclosed to any third parties (other than the regulators or the police, where appropriate).
- **Rights of individuals.** Where an individual is suspected of malpractice, they should be informed of the allegation made against them (preferably in writing) and the evidence that supports the allegation. They should be provided with the opportunity to consider their response to the allegation and submit a written statement or seek advice if they wish to. They should also be informed of what the possible consequences could be if the malpractice is proven and of the possibility that other parties may be informed e.g. the regulators, the police, the funding agency, and professional bodies. The appeals process should also be communicated to them. During investigations it is probable that individuals will be interviewed to gather information on the alleged malpractice. Where centre staff members are interviewed during an investigation that is being carried out by the centre, these interviews should be carried out in line with Centre policy and procedures (including the Centre's policy for conducting disciplinary enquiries). Centre staff may request that they are accompanied by a friend or colleague and these requests should be processed in line with Centre and/or the awarding organisation policy. Where a learner is to be interviewed and they are a minor or vulnerable adult, the Centre and/or awarding organisation will consider the need to have a parent or guardian or carer present or to have the permission of a parent or guardian or carer prior to the interview taking place. Where legal advisors are to be present during interviews this must be made known to other parties involved to give them the same opportunity to be similarly supported.
- **Retention and storage of evidence and records.** All relevant documents and evidence will be retained in line with CIOB's awarding organisation's/centre's stated policy and procedures.
- **Decisions and action plans.** All conclusions and decisions will be based on evidence. A course of proposed action will be identified, agreed between the centre and the awarding organisation, implemented, and monitored by the awarding organisation to the point of completion. The actions will address the improvements that are required to the centre's policies and procedures as well as any action that is related to staff or other resources.
- **Sanctions.** Any sanctions applied to centres by the CIOB awarding organisation will be commensurate with the level of non-compliance identified (and evidenced) during the investigation and will be in line with the awarding organisations sanctions policy.

21.14. Investigation reports

Where the investigation into the alleged malpractice has been carried out by the centre, the head of the centre or their nominee should submit a written report to the CIOB Head of Qualifications. Where the investigation into the alleged malpractice has been carried out by the CIOB Awarding Organisation Investigations Panel, the responsible awarding organisation member of staff/representative should provide a written report.

Investigation reports of maladministration and malpractice within a centre should be completed on the Investigations Report Form. This is available to approved centres via CIOB Moodle and may also be requested by contacting: awardingorg@ciob.org.uk. This report should be accompanied by the following documentation, as appropriate.

- **A statement of the facts.** A detailed account of the circumstances of alleged malpractice, and details of any investigations carried out by the centre.
- **Written statements.** These might be from the centre staff and learners who have been interviewed as part of the investigation.
- **Work and records.** Any work of the learner and internal assessment or verification records relevant to the investigation.
- **Remedial action.** In the case of learner malpractice, any remedial action being taken by the centre to ensure the integrity of certification now and in the future.
- **Mitigating factors.** Any mitigating factors that should be considered.

In those cases where the CIOB Awarding Organisation carries out its own investigation, the Head of the Centre or their nominee will be provided with an opportunity to comment on the factual accuracy of the investigation report before it is finalised.

21.15. Investigation decisions

The decision of the Investigations Panel will be reported to the Audit and Risk Committee, a sub-committee of the Board of Trustees. Where the timetabling of the Committee is not conducive to making a rapid decision, the Chair will seek delegated authority to report directly to the Board of Trustees.

The decision stage will aim to achieve the following.

- Identify the regulatory/centre approval criteria which it is alleged have been compromised.
- Consider the facts of the case.
- Decide, on the facts, whether malpractice has occurred.
- Establish who is responsible if criteria have been compromised.
- Determine an appropriate level of remedial action to be applied.

The Committee will prepare a final report of its investigation in accordance with the General Conditions of Recognition. The following details will be provided.

- The origin of the complaint or mode of discovery of the alleged irregularities.
- The investigations carried out.
- The evidence adduced.
- The conclusions drawn.
- The recommendations for action and resolution of the matter.

The decision will be final. The Head of the Centre or their nominee will be informed in writing of the Committee's final decision within 14 days. The Head of the Centre will communicate the decision to the individuals against which an allegation of malpractice has been made. A course of action must be agreed in conjunction with the regulatory authorities where cases of fraud have been established.

In the event of malpractice by a centre, the awarding organisation will consider action to achieve the following.

- Minimise the risk to the integrity of certification now and in the future.
- Maintain public confidence in the delivery and awarding of qualifications.
- Discourage others from doing the same thing.
- Ensure there has been no gain from compromising our standards.
- Advise the regulatory authorities of the outcome, where relevant.

In the event of malpractice by a learner, the awarding organisation will consider the remedial action being taken by the centre and advise on its appropriateness. The awarding organisation's decision to take further action following the outcome of the investigation will be based only on the evidence available. The decision must be justifiable, reasonable and consistent.

21.16. Malpractice sanctions and penalties

The Awarding Organisation will impose sanctions and penalties on Centres where malpractice has been proven. These are in line with CIOB Awarding Organisation's published sanctions policy. The sanction to be applied will depend on the nature and scale of the malpractice. These sanctions and penalties will aim to achieve the following.

- Minimise the risk to the integrity of the qualifications, both now and in the future.
- Ensure that only those learners who have reached the required standard are awarded the qualification.
- Maintain the confidence of the public in the delivery and awarding of qualifications.
- Deter others from doing likewise.

Centre level sanctions.

- A review and report action plan (issued to the Centre, requiring improvement activity and regular reporting of progress by the Centre).
- Additional monitoring or inspection (for example, increased frequency of external moderation and increased sampling across the qualification or centre as a whole).
- Removal of certificate claims status (requiring all certificate requests to be authorised by the external moderator).
- Suspension of access to registration of learners.
- Suspension of access to learner certification.
- Withdrawal of qualification approval.
- Withdrawal of Centre approval.

Centre Staff level sanctions:

- A written warning.
- A requirement to undergo training before they are involved in the delivery and/or assessment of the qualification in the future.
- Imposition of special conditions on the future involvement (in qualification delivery and/or assessment) of a member of centre staff.
- Suspension from any involvement in the administration, delivery and/or assessment of a qualification (for all CIOB qualifications).

Learner level sanctions:

- A warning (that if the offence is repeated within a set period of time that further specified sanctions will be applied).
- Loss of marks for a section, component, unit and so on.
- Disqualification from a unit, whole qualification or all qualifications taken in that series.

21.17. Appeals against malpractice decisions

It is the responsibility of centres to advise learners they have the right to appeal a decision where a case of malpractice has been upheld. Learners should be aware of the centre's internal appeals process, and that this includes the right to appeal to CIOB Awarding Organisation after the centre's internal appeals process has been exhausted. Learners have a right to appeal where the following has occurred.

- The centre has conducted its own investigation, and the learner disagrees with the outcome.
- The awarding organisation has asked the centre to conduct an investigation and the learner disagrees with the outcome.
- The awarding organisation has conducted its own investigation, and the learner disagrees with the decision

Learners have the right to make a complaint (to the appropriate regulator) about the awarding organisation's process in reaching this decision. The regulator will advise on the detail of the steps required to do this.

If a centre disagrees with a malpractice decision against it, it can appeal. The head of the centre (who may not, in this case, be represented by a nominee) will have the right to appeal. An appeal against a malpractice decision will be required, in writing, to the CIOB Head of Qualifications from the Head of Centre requesting a review of the decision. The appeal should include a written account of why the head of the centre thinks that the awarding organisation's decision is wrong, and this account must address the reasons for the original decision given by the awarding organisation. Any evidence submitted to support this claim must be relevant to the case being made.

The awarding organisation will respond to all appeals in line with the published appeals policy and procedure. In cases where a Head of Centre believes there has been maladministration by the awarding organisation in any aspect of the appeals process, the Head of Centre has a right to raise this matter with the appropriate Regulator. The regulators will not get involved in any individual appeals and deals with awarding organisation maladministration under its complaints procedure, which is published on the applicable regulators website (www.ofqual.gov.uk or <https://ceea.org.uk/contact/complaints>).

21.18. Maintaining records of investigations

In investigating, centres will be required to retain the following records and documentation in line with centre and awarding organisation record retention requirements. In an investigation involving a criminal prosecution or civil claim, records and documentation should be retained for a period of ten years after the case and any appeal has been heard. Records should include the following.

- **A report.** A report containing a statement of the facts, a detailed account of the circumstances of alleged malpractice, and details of any investigations carried out by the centre into the suspected case of learner malpractice.
- **Written statements.** Written statements from the centre staff and learners involved.
- **Work and records.** Any work of the learner and internal assessment or verification records relevant to the investigation.
- **Remedial action.** Details of any remedial action taken to ensure the integrity of certification now and in the future.

21.19. Alerting other awarding organisations

The General Conditions of Recognition for England and Northern Ireland require that an awarding organisation notifies other awarding organisations of cases of malpractice where these cases are likely to impact on the other awarding organisation(s). In dealing with cases of malpractice each awarding organisation must pay due regard to this requirement and notify other awarding organisations, as appropriate. This will usually be appropriate in the following situations.

- The centre where the malpractice has occurred (or is suspected) is also approved with another awarding organisation (for the same or different qualifications) and the (suspected) malpractice could potentially impact on the activities undertaken on behalf of that other awarding organisation.
- The centre where the malpractice has occurred (or is suspected) is also approved with another awarding organisation for the same qualifications and there is the potential for the centre to move their operations to the other awarding organisation to avoid sanctions and continue sub-standard practices.
- The centre where the malpractice has occurred (or is suspected) has indicated that they are seeking approval from another awarding organisation (for the same or different qualifications). A request will be made for information from the centre regarding other awarding organisations it is currently involved with.

22. WHISTLEBLOWING

Whistleblowing is a term used when an individual discloses information relating to malpractice or wrongdoing and/or the covering up of malpractice or wrongdoing. The malpractice or wrongdoing is often committed by an individual, although this is not necessarily always the case. Whistleblowing is distinct from:

- Complaints which are an expression of personal dissatisfaction.
- Employment disputes are where a worker has a dispute about his or her own employment position or contract.

An individual may decide to make a whistleblowing disclosure to the awarding organisation to prevent harm or to hold an organisation to account. Equally the regulators can be contacted, should they wish to disclose information pertaining to malpractice or wrongdoing of the awarding organisation for instances such as the development, delivery, and award of regulated qualifications.

Whistleblowing information should be completed on the Whistleblowing Disclosure Form. This is available to approved centres via CIOB Moodle and may also be requested by contacting: awardingorg@ciob.org.uk.

22.1. Protection for whistleblowers

Workers include employees, contractors, and members of temporary agency staff. If a worker has made a disclosure which is protected under Public Interest Disclosure Act (PIDA) they:

- have the right not to be subject to detriment by his or her employer because of that protected disclosure; and
- will not breach their employment contract by making that protected disclosure.

Protection under the legislation is a matter between the worker and the employer and CIOB Awarding Organisation do not have a formal role in this. For further information visit: <http://www.pcaw.org.uk/law-policy/a-guide-to-pida>. Protected disclosures can only be made where the information being disclosed tends to show that information relating to those listed below has been or is likely to be deliberately concealed.

- **Criminal offence.** A criminal offence has been, is being, or is likely to be committed.
- **Legal obligation.** A person has failed, is failing, or is likely to fail to comply with a legal obligation.
- **Miscarriage of justice.** A miscarriage of justice has occurred, is occurring, or is likely to occur.
- **Health and safety.** The health and safety of an individual has been, is being, or is likely to be endangered.

- **Environmental damage.** The environment has been, is being, or is likely to be damaged.

PIDA gives protection to whistleblowers for disclosures to several different people. Disclosures can be made to employers, to legal advisors, to Ministers of the Crown, to several prescribed regulators (for certain purposes) and to others in certain circumstances.

- **Protection under PIDA.** Disclosures may be protected under PIDA in the following circumstances.
 - The disclosure is made in good faith.
 - The worker reasonably believes that the information disclosed, and any allegations he or she makes, are substantially true.
 - The worker reasonably believes that the disclosure relates to a matter for which the CIOB is the prescribed awarding organisation.
- **Non protection under PIDA.** Disclosures will not be a protected disclosure in either of the following situations.
 - If they commit a criminal offence in making it.
 - If they have received the information while providing legal advice (legally privileged information).

22.2. What you should do if you have a concern about malpractice

Normally, you may want to raise your concern with your employer first, perhaps through your line manager. If you do not feel that this is appropriate you could consider approaching senior management within your organisation. If you feel that a concern you have raised internally has not been appropriately addressed, or if you feel unable to raise your concerns internally, you may want to make a disclosure to someone outside your organisation.

Key examples of whistleblowing disclosures being made to regulators include the following.

- A worker for an awarding organisation making a disclosure about that organisations malpractice or failure to comply with its conditions of recognition.
- A worker for a centre making a disclosure about that centre's malpractice.
- A worker for a centre making a disclosure that the awarding organisation that has approved the centre to deliver the qualification(s) in question has been involved in malpractice or failed to comply with its condition of recognition.
- A learner or parent/guardian making a disclosure about a centre's malpractice.

If you work for a centre, which is delivering regulated qualifications, and you wish to make a whistleblowing disclosure to someone outside of your organisation, you should consider making the disclosure to the awarding organisation that has approved the centre to deliver the qualification(s) in question. You may also contact the regulator, but they will normally ask the relevant awarding organisation to investigate and report on the disclosure.

If you are unsure as to how best to proceed, consider the following actions.

- Contact Public Concern at Work on 020 7404 6609 or by email at helpline@pcaw.org.uk Further information is available at Public Concerns at Work's website (www.pcaw.org.uk)
- Approach your union or professional organisation.
- Get independent legal advice.

22.3. CIOB AO response to whistleblowing

If an individual chooses to make a whistleblowing disclosure to CIOB Awarding Organisation and has provided contact details, they will be sent an initial acknowledgement that their disclosure has been received. If an individual from a centre contacts the regulatory body their disclosure will normally be referred to the awarding organisation that has approved the centre to deliver its qualifications. The regulator will investigate anonymous whistleblowing disclosures or pass them on to the relevant awarding organisation (where appropriate). It may not always be possible to investigate or substantiate anonymous disclosures.

CIOB Awarding Organisation will ask the individual to provide as much of the evidence they have seen as possible to support their disclosure. CIOB Awarding Organisation will consider each disclosure of information sensitively and carefully and decide upon an appropriate response. Information received in disclosures may be shared with third parties when it is necessary to do so. In most cases, individuals will be kept updated as to what action is being taken in response to their disclosure. Updates will normally be sent within ten working days of receiving a disclosure, but this may take longer if the issue is particularly complex.

22.4. Confidentiality

CIOB Awarding Organisation will always endeavour to keep a whistleblower's identity confidential when asked to do so. This may not be possible where the following people or organisations need to be notified.

- The police, fraud prevention agencies or other law enforcement agencies (to investigate or prevent crime, including fraud).
- The courts (in connection with court proceedings).
- Another person to whom it is required by law to disclose your identity.

A whistleblower should also recognise that he or she may be identifiable by others due to the nature or circumstances of the disclosure.

22.5. Contacting us

Our preferred method of receiving whistleblowing disclosures is through completion of our reporting form. For an up-to-date copy please contact us via email at awardingorg@ciob.org.uk. Whistleblowing disclosures can also be made to the CIOB via telephone between the hours of 9am to 5pm Monday to Friday to the Head of Qualifications 01344 630700 and by post to:

The CIOB Responsible Officer
Education and Standards Department
The Chartered Institute of Building
3 Arlington Square
Downshire Way
Bracknell
Berkshire
RG12 1WA

23. CENTRE RE-APPROVAL FOLLOWING LAPSED APPROVAL

23.1. When centre reapproval is required

This process will come into force when issues have been rectified after a centre's approval has been withdrawn, or when a centre has not registered learners for a continuous period since approval was granted.

- **More than 3 years.** Where approval has lapsed for more than 3 years, a new centre application is required. This will be treated as a new centre submission. Please see CIOB Centre Approval Guidance for information about the process.
- **Less than 3 years.** Where approval has lapsed for less than 3 years, the centre reapproval process will be followed. Information on this is given below.

23.2. Centre reapproval process

The external moderator will carry out an advisory visit to assess the suitability of the centre for reapproval. A fee will be incurred for this service. Fee information is published annually and can be downloaded from the CIOB website <https://www.ciob.org/learning-centres/becoming-ciob-approved-qualification-centre>

During the visit they will review the following.

- The centre's quality assurance system.
- Minutes of employer liaison meetings.
- How the centre's equal opportunities policy has been implemented throughout the delivery of the course.
- Internal verification records.
- Minutes of course team meetings.
- Action plans and outcomes from external moderation visits.
- How any issues raised during moderation have been addressed.

After the visit the external moderator will complete a report outlining recommendations and actions. This will be sent to the CIOB Quality Coordinator. Written confirmation of the decision will be sent within 10 days of the advisory visit.

23.3. Centre Re-approval Decision

Decisions will be as follows:

- Re-approval for a specific period, according to circumstances.
- Time limited conditions for approval may be set.
- Recommendations, to be monitored over time, will usually be made for the continued delivery of the course(s).
- In certain circumstances, the AOCPP may decide to suspend approval until some, or all the conditions have been met.

24. EXPANDING APPROVAL FOR ADDITIONAL CIOB QUALIFICATIONS

If a CIOB approved centre wishes to expand their delivery to additional CIOB qualifications, the approvals process will be carried out via a desk top exercise. This will be subject to the review of previous external moderation reports showing that the centre has run to a satisfactory standard. The external moderator can carry out an advisory visit if required. There will be a fee for this service.

The centre will complete a Supplementary Qualifications Approvals Form with information about relevant staff expertise and resources for delivery and assessment of the qualification being applied for. This is available on Moodle or by contacting the Education Team at awardingorg@ciob.org.uk.

Appendix 1 References

Brown G (2001) "Assessment: A Guide for Lecturers". LTSN Generic Centre: ISBN 1-904190-00-6

Race P (2001) "Assessment: A Guide for Learners". LTSN Generic Centre: ISBN 1-904190-03-0

Knight P (2001) "A Briefing on Key Concepts - Formative and Summative, criterion and norm-referenced assessment". LTSN Generic Centre: ISBN 1-904190-05-7

Appendix 1 Practical assignment marking scheme

Grade	Task Completion	Knowledge and understanding of technical aspects of the task	Health Safety and Welfare Aspects to the task	Knowledge and understanding of wider issues and innovations
Distinction	The learner completes all aspects of the practical task and demonstrates understanding of the importance of accuracy and systems for assuring quality and accuracy. The learner is able to demonstrate deep reflection on the way the task was carried out. There is a recognised form of source referencing which supports the points in the task	The learner demonstrates knowledge and understanding of the underlying principles of the technical aspects. The learner has awareness of a range of common errors and the consequences of these.	The learner demonstrates a full understanding of all health, safety and welfare responsibilities and risks associated with the practical task.	The learner is able to demonstrate a broad knowledge and understanding of wider issues that are relevant to the task such as environmental impacts, cost saving methods or social issues. The learner is able to link the role of relevant technical innovations in construction such as BIM to the task.
Merit	The learner completes all aspects of the practical task and demonstrates understanding of the importance of accuracy and systems for assuring quality and accuracy. The learner is able to demonstrate limited reflection on the way the task was carried out. There is referencing of sources, which supports the points in the task	The learner demonstrates knowledge and understanding of the underlying principles of the technical aspects. The learner has awareness of some common errors and the consequences of these.	The learner demonstrates a full understanding of all health, safety and welfare responsibilities and risks associated with the practical task.	The learner is able to demonstrate limited knowledge and understanding of wider issues that are relevant to the task such as environmental impacts, cost saving methods or social issues. The learner may be able to link the role of relevant technical innovations in construction such as BIM to the task.
Pass	The learner completes all aspects of the practical task. The learner is able to demonstrate an understanding of the importance of accuracy and systems for assuring quality and accuracy. The learner shows some reflection on the way the task was carried out.	The learner demonstrates knowledge and understanding of the underlying principles of the technical aspects of the task. There may be limited understanding of common errors and the consequences of these errors.	The learner demonstrates a full understanding of all health, safety and welfare responsibilities and risks associated with the practical task.	The learner demonstrates little or no knowledge and understanding of wider issues that are relevant to the task such as environmental impacts, cost saving methods or social issues. There is no attempt to link relevant innovations in construction to the task.
Fail	Fails to complete the task accurately. The learner is not able to demonstrate an understanding of the importance of accuracy and systems for assuring quality and accuracy. The learner does not demonstrate the ability to reflect on the way the task was carried out.	The learner does not demonstrate adequate knowledge or understanding of the underlying principles of the technical aspects of the task.	The learner does not demonstrate an understanding of health, safety and welfare responsibilities and risks associated with the practical task.	There is no attempt to link wider issues to the task and no attempt to link it to current innovations in construction.

In assessing a script, the Centre is required to apply the generic grading descriptors to its own marking scheme (that breaks down the marks awarded for each task). This is to determine the mark for the individual tasks and thereby the overall grade (Refer, Pass, Merit or Distinction) for the script. This process ensures auditability as well as consistency across the scripts and markers.

The percentage marks awarded above must align with the generic grading descriptors.

A recognised form of referencing (including all non-written and supporting information) is required in all scripts and is not down to interpretation although the exact form it takes should be set out clearly by the centre if they wish to implement a particular form of referencing."