



CIOB Awarding Organisation

Policies and Procedures

JULY 2010

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*To view the CIOB customer services charter and other non Awarding Organisation documentation, please visit: www.ciob.org/about/customerservices

1. Awarding Organisation Customer Services Statement

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1.1 About the Chartered Institute of Building

With over 45,000 members the Chartered Institute of Building (CIOB) is the voice of the building professional, representing an unequalled body of knowledge concerning the management of the total building process.

CIOB members are skilled managers and professionals with a common commitment to achieving and maintaining the highest possible standards. Chartered Member status, represented by the designations MCIOB and FCIOB, is recognised internationally as the mark of a true professional in the construction industry.

With its increasing international membership and growing profile in the UK, the CIOB is making a hugely influential contribution to one of the worlds most important industries.

1.2 The CIOB Awarding Organisation

The Awarding Body Management Committee (ABMC) was established under the specifications required by Ofqual in November 2008 to exercise effective control over Awarding Organisation functions. The ABMC sets, monitors, reviews and evaluates CIOB Site Supervisory and Site Management qualifications under the regulatory arrangements for Ofqual and the Qualifications Credit Framework.

The CIOB Management Team consisting of the Education Manager and Vocational Coordinator manages, coordinates and administers the qualifications and Awarding Organisation processes.

Our charter sets out to Approved Centres and their candidates our commitment and the standards of service we aim to provide. Our charter also applies to everyone who has contact with the CIOB.

1.3 Our Guiding Principles:

- Creating extraordinary people through professional learning and continuous development
- Promoting the built environment as central to quality of life for everyone, everywhere
- Achieving a sustainable future worldwide

- Advocating exemplary ethical practice, and behaviour, integrity and transparency
- Pursuing excellence in management practice and technological innovation rooted in evidence based science
- Being socially responsible and working responsibly
- Enabling our members to find an emotional resonance with the Institute; their success is our success

1.4 Our Commitment:

As CIOB staff we are committed to:

- Maintaining a professional manner
- Using plain or easy to understand language
- Being courteous and helpful
- Listening carefully
- Providing clear and accurate information
- Responding to enquiries and requests promptly
- Being transparent and accountable
- Apologising if we make a mistake
- Being sensitive to special needs
- Advising of all relevant timescales
- Continuously striving to improve or exceed our service standards

Our staff will:

- Behave professionally and politely
- Aim to provide clear and relevant information, guidance and feedback
- Treat you fairly and with respect
- Offer a friendly and polite service and be sensitive to your needs
- Do our best to help you
- Provide easy to understand, useful information and keep you up-to-date about the services we provide
- Respond to feedback and complaints
- Communicate courteously and positively with you at all times and adopt a positive attitude
- Be knowledgeable about the area for which they are responsible. If an answer is unknown or requires further research, we will make sure you are kept informed.

Our offices and staff:

The CIOB acknowledges that the appearance of its premises and staff is important in demonstrating its professional approach in dealing with customers. In doing so, we will:

- Ensure its reception, meeting rooms, office environment and grounds are kept clean, tidy and comfortable at all times
- Have clear signs and notices to direct customers into the premises or other areas where appropriate
- Provide security badges for all visitors and maintain a record of those present within the building
- Ensure all members and invited guests are insured under our employees' and public liability cover when visiting CIOB premises
- Ensure Members are also covered under personal accident cover

1.5 Our Services Standards:

When contacting us by telephone during office hours we aim to:

- Provide a quick and efficient response to all telephone calls within four rings
- Take responsibility for your call and deal effectively with your enquiry giving the name of the person that answers the phone
- If necessary transfer your call to another member of staff who may be more appropriate to assist you
- Where the telephone call is more complex, arrange to call you when we have the relevant information and ensure we contact you if we need additional time for your enquiry
- Should we be out of office at any time – we may use voice mail and for short periods, such as staff meetings; return calls will be made appropriately
- Return your phone calls by the next working day

When receiving an email we aim to:

- Acknowledge correspondence within five working days of receipt
- Provide a full response within 14 days of receipt, unless the acknowledgement states an extended period is required
- Write in plain English and avoid jargon
- Provide a clear and concise response and aim to answer the specific points raised

When sending written communications such as letters we aim to:

- Acknowledge correspondence within five working days of receipt
- Provide a full response within 14 days of receipt, unless the acknowledgement states an extended period is required
- Write in plain English and avoid jargon
- Provide a clear and concise response and aim to answer the specific points raised
- Sign letters and clearly print the name, telephone number, email address and department of the relevant contact person

Visiting CIOB and Appointments with Staff. At such times that customers visit our premises, CIOB will:

- Have our offices open from 9 am to 5 pm, Monday to Friday
- Keep our appointments and ensure, as far as possible, you are not kept waiting for more than 5 minutes
- Try to contact you at the earliest opportunity if you have an appointment and we are likely to be delayed for more than 15 minutes
- Ensure that cancelled appointment information is conveyed to you at the earliest opportunity to avoid wasting your time
- Greet customers personally and conduct them from the reception area
- Ensure, wherever possible, visitors without appointments are seen by a member of staff within 15 minutes to discuss or make alternative arrangements

1.6 Our Privacy Policy:

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 1998.

Generally, we receive information 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 verifiers 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. We do 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

1.7 Complaints

We hope you do not have cause to complain about our standards of service; however we know that there may be occasions when things go wrong. If you do wish to make a complaint, we will:

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

1.8 Awarding Organisation Complaints Handling Procedure

To ensure that complaints are managed effectively, our handling procedure is set out as follows:

- Complaints should be issued to the Awarding Organisation in writing within 30 days of a complaint or grievance is identified or within 30 days of the notification of an internal appeal
- The complaint will then be acknowledged in writing to you and investigated by the Awarding Organisation
- Complainants will then be notified in writing of the outcome and the right to appeal within 30 days.
- A complainant may have grounds for an appeal if the outcome reached is not to their satisfaction. For more information on appeals please read the Awarding Organisation Appeals procedure as detailed on our website www.ciob.org.uk/education

1.9 Complaint Monitoring

The Awarding Organisation will undertake regular reviews of complaints through an internal monitoring process.

1.10 Contact Information:

Complaints under the jurisdiction of the Awarding Organisation should be directed to:

Head of Education

Chartered Institute of Building
Englemere
Kings Ride
Ascot
Berkshire
SL5 7TB

Email: educationadmin@ciob.org.uk

2. Awarding Organisation Appeals Procedure

This Procedure is of interest to Centres delivering CIOB Awards including:

- Quality Managers
- Teaching Staff
- Heads of Departments
- Programme Leaders
- Assessors
- Internal Verifiers
- External Verifiers
- Students of CIOB Programmes

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2.1 Introduction

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. In the event that 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 at all times.

The CIOB strives to ensure that the quality and integrity of its awards is maintained. However, there may be incidents which require an investigation of the quality systems and procedures. The appeals procedure allows centres and candidates 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 CIOB Appeals Process has been established under the terms of The Statutory Regulation of External Qualifications 2004 (QCA).

2.2 An Appeal

An appeal is a formal request by a candidate or a named representative from an Approved Centre to the Awarding Organisation to undertake an investigation (on the grounds outlined below) and to arrive at a decision.

2.3 Grounds for Appeal

An appeal may be made by individual candidates or centres:

- When the systems and procedures are deemed to have failed
- On the grounds of maladministration or malpractice
- Against an external verification decision
- A candidate considers that a Centre decision continues to disadvantage him/her and this has not been resolved by the Centre's internal appeals procedure

A candidate who appeals against results or against practices and procedures carried out by an approved centre may only be considered after the centre's own appeals procedure has been exhausted. Appeals will be considered individually on the merits of each submission made to the CIOB Awarding Organisation.

2.4 Malpractice

In cases where malpractice is suspected through the nature of an appeal, the Malpractice Policy will be invoked.

2.5 Procedures for registering an Appeal

An appeal must be submitted in writing to the Head of Education **within 30 days** of a grievance being identified; **or within 30 days** of the notification of an internal appeals decision which has been made by an approved centre. The written appeal must contain the following information:

- Name of person making the appeal
- Name of Approved Centre
- Name of candidate(s) involved in the appeal (if applicable)
- CIOB course being studied by candidate/s (if applicable)
- Year in which candidate(s) registered for the course (if applicable)
- Details of the appeal
- Grounds or reason for the appeal
- If the appeal is against an assessment decision, the assessed item(s) of work must be included in the written appeal

2.6 The Appeal Process

The CIOB Awarding Organisation Appeals process has three stages affording opportunities to appeal decisions. An outcome must be reached from each stage before the appeal can be escalated to the next stage. **At each stage at least one independent member* will be involved in the decision making process.**

These stages are:

1. **The Awarding Organisation**
2. **The Grievance and Appeals Board**
3. **Independent Review**

*An independent member will be someone who is, and has not been at any time during the past seven years, a member of the awarding body's board or committees, or an employee or examiner of the awarding body.

2.7 Stage 1: Awarding Organisation

Learners appealing against the decisions of a centre must exhaust the centre's own appeals procedures before lodging an appeal with the CIOB Awarding Organisation.

Appeals are to be lodged with the Awarding Organisation in writing. The Awarding Organisation will acknowledge in writing the receipt of the appeal within 5 days.

The Awarding Organisation Management Committee will investigate the appeal and an outcome will be determined based upon the information provided by the appellant to the Awarding Organisation. An independent reviewer will be involved in determining the outcome of the appeal.

At each stage of the appeals process the appellant will be kept fully informed and notified of the outcome and opportunity to appeal the decision **within 30 days**.

Appeals to the Awarding Organisation should be made in writing to the address below:

CIOB Awarding Organisation – APPEALS

The Chartered Institute of Building
Englemere Kings Ride
Ascot
Berkshire
SL5 7TB

Email: awardingorg@ciob.org.uk

2.8 Stage 2: CIOB Grievance and Appeals Board

If the appellant wishes to appeal the decision of the Awarding Organisation, the appeal can be lodged **within 30 days** with the **CIOB Grievance and Appeals Board**. **The Appeal will be acknowledged in writing and a decision provided in writing within 8 weeks.**

Grievance & Appeals Board procedure

1. A written complaint is received by the Deputy Institute Secretary regarding an Institute process. The Deputy Institute Secretary reviews the complaint together with the Manager/Head of Department to which the process relates.
2. A holding response is sent to the complainant if it is deemed to be a complaint under the Terms of Reference of Board. If the complaint is not covered by the Terms of Reference, a formal response will be made. (1 week)
3. Evidence of the Institute process will be collated by the Deputy Institute Secretary and a member from the Board sought to review the complaint. (2 weeks)

4. All documentation relating to the Complaint will be forwarded to the Board Member.
5. The Board Member will be asked to review and consider the complaint, grievance or appeal and complete an Appeal Report, using the template document supplied. (2 weeks)
6. On receipt of the Appeal Report, all documentation shall be sent to the Chair of the Board. The Chair's role is to confirm that due process has been followed and the response of the Board Member is fair and reasonable. (2 weeks)
7. The Deputy Institute Secretary sends the Appeal report to the Complainant and to the Awarding Organisation Head of Education with a covering letter
8. The Awarding Organisation Head of Education will write to the appellant with details of the outcome of the appeal.

Enquiries regarding the Grievance and Appeals Board should be directed to:

Deputy Institute Secretary / Legal Manager

Chief Executive's Directorate
The Chartered Institute of Building
Englemere
Kings Ride
Ascot
Berkshire
SL5 7TB

Tel: +44 (0) 1344 630732

2.9 Stage 3: Independent Review

If an appellant wishes to appeal the decision of the Grievance and Appeals board and the Awarding Organisation, the appellant must respond in writing to the Awarding Organisation **within 30 days** of the issued decision. The appeal will then be passed to the Awarding Organisation Management Committee who will appoint an independent person from an independent Review Panel. The independent review panel is comprised of individuals who are not and have not been members of the Awarding Body or any CIOB Committees in the preceding 7 years and are not employed by the CIOB.

This independent Reviewer will have access to all of the information previously submitted by a candidate and the CIOB responses to the enquiry and appeal history. They will also have access to information regarding the processes and procedures that the CIOB follow and are provided with access and information which may aid the review.

Upon completion of the independent review the CIOB Awarding Organisation will communicate the decision reached to the candidate in writing **within 30 days. The decision of the Independent Review is final.**

Appeals

CIOB Awarding Organisation

The Chartered Institute of Building
Englemere
Kings Ride
Ascot
Berkshire
SL5 7TB

2.10 Appeal Outcomes

Where the outcome of an appeal brings the validity of other results or decisions into doubt, the CIOB Awarding Body will take action to protect the interests of other affected candidates and to ensure the integrity of the award.

The Awarding Body Management Committee will take appropriate action to rectify failures in quality procedures or policies which are identified through a successful appeal.

Appeals may be lodged against assessment decisions. However there are certain circumstances which will not be considered as valid grounds for an appeal.

Appeals relating to the following will not be considered:

- The effect of the assessment decision on a candidate's employment or employment prospects
- The cost to the student of exam re-sits
- The effect of an assessment decision on a candidate's family or personal life
- Pressure of work during an examination period
- Against the academic judgment of an examiner or of the Examinations Board

If an appeal is lodged without legitimate grounds, the CIOB **will not** consider the appeal.

2.11 Protecting the interests of all candidates and the integrity of the qualification

Where the outcome of an appeal brings into question the accuracy of other results, the CIOB will take steps to protect the interests of all candidates and the integrity of their qualifications. This may include the review of learners' work and this may be undertaken without obtaining the learners' consent. Where serious breaches of quality systems or procedures have occurred at the centre, the CIOB retains the right to withdraw centre accreditation.

2.12 Timescale for Appeals

The CIOB aims to fully investigate an appeal and respond to the appellant with an outcome within 30 days of the appeal being lodged. At every stage, the appellant will be informed of a time period to respond by.

2.13 Costs and fees

The CIOB does not charge a fee for an appeal and if there are any associated costs these will not be passed to the appellant.

Refunds

The appeals process is free to appellants and therefore no refunds or associated costs are paid to the appellant. The CIOB reserves the right not to enter into any discussions on the repayment of any expenses incurred by the appellant through the appeals process.

2.14 Annual Evaluation

The CIOB will continuously monitor and evaluate the nature, conduct and outcomes of its appeals arrangements. Where a successful appeal identifies failures in the quality systems or procedural failures, the Awarding body Management Committee will take remedial action necessary to ensure

the integrity of its qualifications. It will report on the operation of its service and share relevant data with the regulatory authorities upon request.

This Procedure is in line with regulatory criteria as set out by Ofqual.

The CIOB Awarding Organisation may vary this policy from time to time, such variations being effective upon their publication.

If you would like to talk to someone about the appeals process, please contact us on + 44 (0) 1344 630 742 or email your enquiry to awardingorg@ciob.org.uk

Or by post:

Appeals

CIOB Awarding Organisation

Englemere

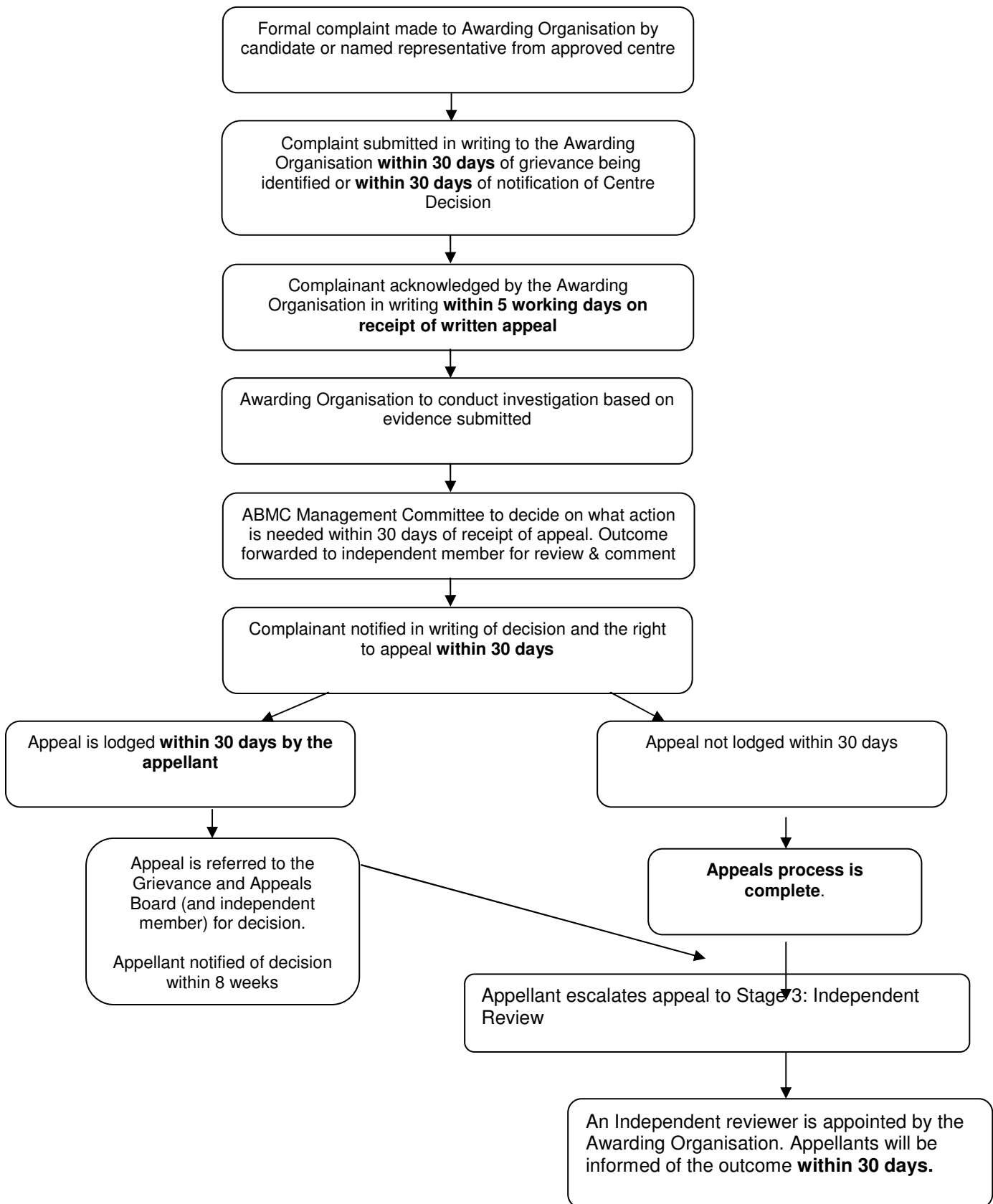
King's Ride

Ascot

Berkshire

SL5 7TB

2.15 CIOB Awarding Organisation Appeals Process



3. Awarding Organisation Malpractice Procedures

3.1 Malpractice Procedure

3.2 Certification Fraud

3.3 CIOB Reporting

3.1 Malpractice Procedure

Any allegation of malpractice is required to be submitted to the Head of Education within 30 days of an alleged act of malpractice being identified. The written allegation of malpractice must contain:

- 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 of the allegation will be acknowledged by the CIOB.

The person or centre against which an allegation of malpractice has been made will be informed in writing by the Head of Education of the allegation. They will be given an opportunity to respond.

Where the allegation of malpractice is made, an investigation will be conducted by an Investigations Panel which will be set up by the CIOB Education Qualifications, Standards and Practice Board (EQSP) Chair or Vice-Chair.

The Investigations Panel will comprise of 3 corporate members. At least 1 member of the Panel shall be independent who has not been a member of a CIOB committee associated with education; a member of the EQSP Board or its previous Board; an employee, or; examiner, within the past 5 years.

The Investigations Panel will be formed as soon as possible following receipt of a written malpractice allegation being lodged with the CIOB. Evidence may be collected from the Centre and/or the CIOB Awarding Organisation External Verifiers and/or from the candidate (if applicable).

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 are to be notified to the parties.

The Chair of the Investigations Panel will notify Ofqual when commencing an investigation of malpractice and will provide an estimated timescale for completion.

The decision of the Investigations Panel will be reported to EQSP Board. The person or Approved Centre against which an allegation of malpractice has been made will be informed in writing within 14 days of the final decision of the Board.

The EQSP Board will prepare a final report of its investigation. In accordance with The Statutory Regulations of External Qualifications in England, Wales and Northern Ireland (QCA), details will be provided as follows:

- 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.

3.2 Certification Fraud

In the case of certification fraud, the EQSP Board must inform the regulatory authorities whenever it finds evidence that certificates may be invalid. A course of action must be agreed in conjunction with the regulatory authorities.

3.3 CIOB Reporting

Where the timetabling of EQSP Board and CIOB Board of Trustees/ Resources Committee is not conducive to providing a rapid decision, then the EQSP Chair will seek delegated authority to report directly to the Board of Trustees or Resources Committee. The decision of CIOB Board of Trustees will be final.

4. Awarding Organisation Certification Policy

- 4.1 Certification procedures**
- 4.2 Replacement certificates**
- 4.3 Requests for certification**
- 4.4 Certification Fees and Charges**
- 4.5 Certificate storage**
- 4.6 Certification fraud**

4.1 Certification Procedures

The Awarding Body Management Committee (ABMC) requires approved centres under their regulators Ofqual and the Qualifications and Credit Framework (QCF) to follow its policy set under the regulatory arrangements for certification of candidates on completion of their studies.

Qualifications approved within the regulations of the QCF provide achievements through the award of credits and qualifications. It allows the learner to accumulate and transfer credits between qualifications and their organisations that operate under the QCF. Learners are given maximum flexibility and range of opportunity to progress and receive recognition of their achievements.

The Awarding Organisation will ensure that credits achieved by learners are awarded securely, accurately and promptly. When errors are identified the decisions will be reviewed by the Awarding Body Management Committee and results adjusted when appropriate.

Centres are required to provide completion dates for each cohort and pass lists should be sent out within four weeks of this date.

Pass lists will be generated by the CIOB Awarding Organisation, indicating units completed and passed. The Awarding Organisation will also interrogate the unit databank for candidate details. Pass lists will be provided to the Awarding Body Management Committee as required for review. Under Ofqual regulations, certificates are signed by the Chief Executive as the designated signatory or other appointed person subject to Ofqual agreement.

The spelling of candidates' names will appear as registered on the CIOB database, taken from the registration forms. This spelling will appear on the certificate. The CIOB will not be held responsible for the mis-spelling of names on certificates when the centre has been provided with the opportunity to ensure details are correct.

Approved centres certificate claim forms must be signed by the programme leader and/or head of department to be able to claim certificates. Forms that are not signed will be sent back and this will delay the claiming process.

Certificates issued by the CIOB Awarding Organisation carry the regulatory authority logos for Ofqual, The Welsh Assembly Government and the Council for Curriculum, Examinations and Assessment in Northern Ireland (CCEA) these indicate that the qualification is accredited for England, Wales and Northern Ireland.

4.2 Replacement Certificates

Candidates and/or centres requesting a replacement certificate or transcript of completed units should contact the CIOB (details below).

Candidates who are not registered CIOB members will be required to provide original photo identification in the form of a passport, identity card or driving licence to the CIOB before a replacement certificate or transcript is issued.

Fees and charges apply to the replacement of all certificates including:

- Certificates with a mis-spelling due to incorrect information taken from the registration form
- Where certificates have been lost or stolen

Claims for replacement certificates will be authenticated by the Awarding Organisation and once substantiated, issued thereafter.

Replacement certificates will be labelled as such and will show a unique identifier and the date they were previously issued on each certificate. A record of each issued certificate is entered on to the CIOB database recording that a replacement certificate has been issued.

4.3 Requests for Certification

Certification claim forms must be completed in full and signed by the programme leader/head of department to be able to claim certificates. Forms that are not signed will be sent back and this will delay the claiming process.

4.4 Certification Fees and Charges

Details of replacement certificate and transcript fees and charges are available on our web pages www.ciob.org.uk/education or by contacting us at awardingorg@ciob.org.uk

4.5 Certificate Storage

The Centre must ensure that:

- Certificates are to be retained, until issued to a candidate, in a lockable cupboard accessible only to those staff involved in the certification process
- Certificates are issued without unnecessary delay
- Certificates must be stored and issued in numerical order
- All certificates lost or destroyed by the Centre will be recorded by date, number, candidate and reason & the Awarding Organisation informed
- The Awarding Organisation is informed of any unclaimed certificates in any given period
- Reports can be provided on request by the Awarding Organisation on the number of certificates issued & the number destroyed by a centre in a given period

The Awarding Organisation will ensure that:

- Certificates are to be retained, until issued to a Centre in a lockable cupboard accessible only to those staff involved in the certification process
- Certificates are issued without unnecessary delay
- All certificates issued will be recorded by date, number and candidate
- All replacement certificates will have the word 'REPLACEMENT' clearly displayed on them. Certificates will be signed and dated as appropriate and are only issued after steps have been taken to authenticate the claims

- Records will be maintained on the CIOB database for all issued certificates

4.6 Certification Fraud

The CIOB Awarding Organisation's procedure to safeguard against fraudulent or mistaken claims for certificates is as follows:

- Centres are requested to check all details thoroughly before submitting claim forms
- All Certificate claim forms must be signed by the designated programme leader
- All claims will be verified against CIOB student records & countersigned by the Head of Education
- A unique identification number will be assigned to each certificate and dated
- Replacement certificates will be marked and dated
- Records will be maintained on the CIOB database for all issued certificates
- Centres are required to enter certification details on to the students learner record against their ULN
- The CIOB External Verifier will monitor all claims for certification at centre external verification visits

The Awarding Organisation will notify Ofqual of any evidence of certification fraud and will take the necessary action in conjunction with the regulatory authorities to carry out a full and comprehensive investigation. The investigation into cases of certification fraud will be undertaken via the terms of the Malpractice Policy.

In the case of certification fraud, the CIOB must inform the regulatory authorities whenever it finds evidence that certificates may be invalid. A course of action will be agreed in conjunction with the regulatory authorities.

CIOB certificates are in principle deemed invalid under the following circumstances:

- In cases of plagiarism where assessed evidence is not the candidate's own work
- The candidate is still working towards the qualification after the certificate has been claimed
- The certificates have been claimed on the basis of falsified records

Certification Claims should be directed to:

CIOB Awarding Organisation

The Chartered Institute of Building
Englemere
Kings Ride
Ascot
BERKSHIRE
SL5 7TB

Tel: +44 (0) 1344 630785

E-mail: awardingorg@ciob.org.uk

5. Awarding Organisation Risk Management Procedure

5.1 Introduction

5.2 Risk Management Statement

5.3 Risk Management Monitoring

5.4 Risk Management Procedure

5.5 External Verification

5.1 Introduction

The risk management procedure is a commitment to adopting, implementing and overseeing an effective risk management process within Awarding Organisation functions.

The Awarding Body Management Committee under the Terms of Reference is responsible for formally overseeing the risk management activities of the Awarding Organisation qualifications and their effectiveness. Risk management will be placed as a continuous agenda item at the management committee meetings and a risk register is updated.

5.2 Risk Management Statement

The CIOB Awarding Organisation relies upon a sound system of risk management and control. Accordingly, the Awarding Organisation Management Committee Secretary, will ensure management accountability, and will provide a written overview to the ABMC based upon sound risk management.

5.3 Risk Management Monitoring

The Awarding Organisation has implemented internal procedures governed by the Awarding Organisation Management Committee and its members. Internal audits monitor general risk management annually within the Awarding Organisation and its effectiveness.

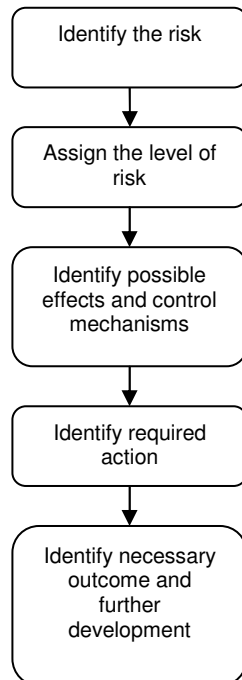
The risk management procedure covering areas such as:

- Re-accreditation
- Certificate claims
- Staffing levels
- Funding
- Marketing

Areas of risk are recorded and the action to be taken, within meeting minutes. The Risk Register is updated after every meeting when necessary. Certain areas of risk will require recommendation from the Board of Trustees; in such instances a report will be presented to the Board.

5.4 Risk Management Procedure

Process to show a mechanism to ensure a satisfactory outcome and to protect the interests of users:



5.5 External Verification

External Verification of approved centre activities is conducted on an annual basis; external verification covers elements of risk management. External Verifiers Reports are reviewed after inspection and the findings are reported to the Awarding Body Management Committee via the Chief External Verifier. Areas of risk are identified and the relevant action taken.

6. The Qualifications and Credit Framework Unit Databank

6.1 Introduction

6.2 Credit Accumulation and Transfer (CAT)

6.1 Introduction

The Awarding Organisation will access the QCF unit databank system to allow interrogation of the databank for certification and Awarding Organisation purposes and will also maintain registers and codes for the recognised centres.

Once a learner has completed units and/or qualifications and the learning outcomes are assessed, the approved centre will send records of the learning outcomes to the Awarding Organisation. The Awarding Organisation Administrative Secretary will then award credit to the learner which is based on the learning outcomes and submit achievement dates into the QCF systems. The QCF system assesses whether the addition of the achievement would enable the learner to claim a unit/qualification, and if so, notifies the approved centre of this potential claim.

The learner liaises with the approved centre who may then claim the chosen unit/qualifications from the Awarding Organisation. If the learner has not achieved all the required criteria with the Awarding Organisation, they can make a CAT query to establish whether the learner has achieved the credit with another Awarding Organisation.

6.2 Credit Accumulation and Transfer (CAT)

When developing rules of combination, the Awarding Organisation may consider opportunities for credit transfer which are compatible with the rationale for CIOB qualifications. These include:

- Opportunities to count credits or unit(s) from qualifications submitted by other recognised organisations towards the qualification in place of mandatory or optional units specified in the rule of combination.

The units must therefore have the same credit value or be greater than the units in question and also be at the same level or higher. This helps to support the transfer of achievement, reduces the assessment burden and allows learners to move more freely through the qualifications system.

The CIOB Awarding Organisation takes a structured approach to the arrangements for identifying equivalent units within the qualifications unit databank. The following are considered to decide whether the content of a unit is truly equivalent:

- Unit title
- Level
- Credit value
- Learning outcomes
- Assessment criteria

The Awarding Organisation decision on the closeness of fit will be informed by the purpose of the qualification. In some instances a very close match between learning outcomes will be required; in others a looser connection between learning outcomes may be acceptable.

The Awarding Organisation will take into consideration that:

- One, two or more units can be identified as equivalent to another one.
- If units have the same title, credit value and level, they should always be identified as equivalent.
- A unit can only be identified as equivalent to another unit if it has the same or a higher credit value.
- A unit can only be identified as equivalent to another unit if it is at the same level or higher.
- There is no requirement to gain agreement on equivalence from the owner of the unit(s) identified as equivalent.
- There is no obligation for equivalence to be mutual. This means, for example, that if awarding organisation A designates two units owned by awarding organisation B as equivalent to one of its own units, there is no obligation on awarding organisation B to recognise awarding organisation A's unit as equivalent in return.
- It is expected that the majority of units identified as equivalent will be equivalent to units specified as 'restricted' or expired units. If a unit is specified as shared then there should be no need to specify a unit that is equivalent to it.
- The more units there are in the QCF unit databank, the greater the opportunities to identify equivalence. The Awarding Organisation will therefore review units in the databank quarterly to yearly basis to ensure that, as new units become available, we continue to reference the full range of equivalent units within the rules of combination.
- Review will also be carried at the reaccreditation or extension stage for each qualification.
- If shared units have been determined this will be outlined as such within the unit databank.

For more information regarding the Qualifications and Credit Framework (QCF) please visit <http://www.qcda.gov.uk>

7. CIOB Awarding Organisation Fee Levels

For up-to-date information on fees and associated costs including certificate fees, appeals and course fees, please refer to our web-pages; www.ciob.org.uk/education or contact us on +44 (0) 118 630 742 email: awardingorg@ciob.org.uk