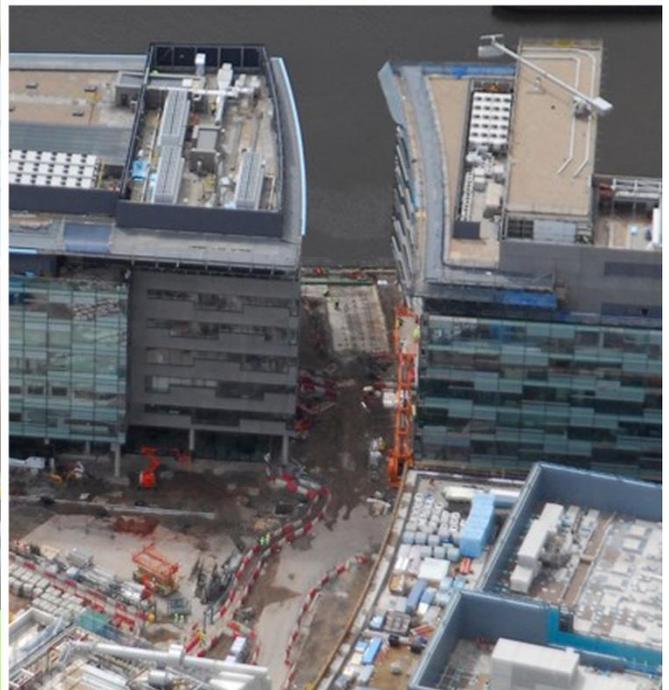


# Requirements for approved training organisations



December  
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Construction training  
register and construction  
training directory



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## Context

At the heart of CITB is the need to focus on three industry priorities:

- careers
- standards and qualifications
- training and development.

One way in which we are achieving this is through the development of a new approach to how we support and fund training. This has led to the introduction of Approved Training Organisations (ATOs) to bring greater standardisation to industry training and increase the transferability of skills between employers.

**The principle aims of the new approach are to:**

- reduce duplication in the delivery of training
- eliminate duplication of grants for training
- enable CITB to direct grants to priority areas
- provide CITB and, in turn, industry with valuable data about skills in the construction industry.

**We are achieving this in the following ways.**

- Creating training standards that employers and training providers can deliver against. This will bring the opportunity for greater clarity and consistency in construction training.
- Putting in place a directory where training courses that meet the requirements can be accessed by employers. This will enable industry to locate the training it needs and make informed decisions about who to use.
- Quality assuring the delivery of training so that industry can be confident that the training provided to workers in construction meets the required standard.
- Putting in place a register of candidates' training achievements that will give visibility to the training that individual workers in the construction industry have completed. In turn, this should provide valuable information about the level of training and skill in our industry.
- Paying CITB grants directly to employers who book their workers onto training courses; payment will be made upon completion of training, as entered on to the register. By doing this we can remove duplication and direct our funds towards training in areas that are a priority to industry.

## Scope

- Approved Training Organisation standard terms and conditions.
- Scheme rules for CITB products.
- Construction Training Register and Construction Training Directory user guides.
- CITB equality of opportunity policy.
- CITB appeal policy.
- CITB invigilation policy.
- CITB conflict of interest policy.
- Modern slavery policy.
- CITB Grant scheme rules.

## How to become an Approved Training Organisation

1. Your approval will allow you to operate throughout Great Britain, as defined within the standard terms and conditions of your contract with CITB. By applying to be an Approved Training Organisation you accept this document (or any subsequent revisions to this document(s), as may be notified to you by CITB from time to time) and agree to operate to the Approved Training Organisation approval criteria (Appendix 1) and Approved Training Organisation corrective actions (Appendix 2).
2. Approved Training Organisation approval is subject to there being sufficient management experience required to support the delivery of courses that have been accepted by CITB for the Construction Training Directory and Construction Training Register.
3. Prior to the delivery of any short duration course or qualification recognised for the purpose of the Construction Training Register, you must become an Approved Training Organisation for the appropriate category (Assured, CITB products and/or Recognised).
4. If your organisation has a partnership arrangement with another organisation, the roles, responsibilities and accountabilities for each organisation must be clearly documented. This needs to include responsibility for quality management, training and administration of the approved courses. You must also demonstrate how communication between the different organisations is maintained. CITB will not accept sub-contracting of the Approved Training Organisation quality assurance operation. This is to ensure, where specialists are used to supplement delivery, there are control measures in place to maintain the quality of delivery.
5. CITB will provide you with appropriate guidance and support to enable you to meet the requirements to become an Approved Training Organisation and to minimise unnecessary bureaucracy in the process. Further support is available through CITB's quality assurance team, based throughout Great Britain.
6. There are two elements to the approval process. First, you will need to be able to demonstrate how your organisation meets the Approved Training Organisation approval criteria (defined in Appendix 1). Second, you will need to demonstrate how your organisation's products meet the published short duration standard (for the assured category). For CITB products you will complete the standard application for the specific product.
7. If you are offering products that are quality assured through a third party awarding organisation, CITB will offer you the opportunity to become a CITB Approved Training Organisation in order to gain access to the Construction Training Register and Construction Training Directory. CITB will gain assurance through the third party's quality arrangements. CITB will check this from time to time and require you to notify us when you have cause to believe that you will not be compliant, or if you receive a report from the third party awarding organisation issuing a suspension or restrictive action.
8. The approval process is linked to the category of product you are requesting – Assured, CITB products or Recognised.
9. Prospective companies or individuals wishing to become a CITB Approved Training Organisation, and wishing to deliver one or more of the product categories, are required to complete the application process. This can be found on the CITB website, [www.citb.co.uk](http://www.citb.co.uk). By completing the application you are agreeing to the requirements detailed in Appendix 1 and the need to supply information upon request to CITB. Additionally, the application process includes permission for CITB to carry out a credit search on your organisation and confirms that you are applying for a credit account with CITB. It is important that the required information is provided in full to allow the process to be completed in a timely manner.

10. For Approved Training Organisation status approval, the following information is required.
- Approved Training Organisation authorised representative.
  - Company or organisational name.
  - Company House or Registered Charity Number.
  - Company address.
  - Contact details, including email and telephone number.
  - CITB Company Levy Registration Number (as applicable).
  - Accounts department contact, including email and telephone number.
  - Category of standards being requested (Assured, CITB products or Recognised).
  - Super User information.
11. Incomplete or inaccurate applications will be returned unprocessed until the full and correct information is received. Information will be held for 30 days, at which point the application will be closed.
12. You will also be asked to confirm that the Approved Training Organisation, its staff and/or agents that will be involved in the Approved Training Organisations management, delivery and/or administration have not been investigated for any malpractice, maladministration and/or fraud in relation to a regulated qualification or unregulated training courses.

## **Approved Training Organisation status approval**

### **Approval**

13. You will be approved once you have demonstrated, to the reasonable opinion of CITB, that you have successfully met the requirements detailed in the contract pack. In addition, you will have demonstrated a robust quality management system by supplying all requested information. Access will be provided to the Construction Training Directory and the Construction Training Register at this stage. Your course details will not appear in the Directory until successful completion of the selected product category approval (Assured, CITB products, Recognised).

### **Summary approval**

14. This will be issued where there are minor updates required that, in the reasonable opinion of CITB, do not present a risk to Approved Training Organisation status and can be remedied within the first 30 days of approval. Access to the Construction Training Directory and Construction Training Register will be provided. Failure to meet the actions set and agreed within the prescribed timescale will result in the Approved Training Organisation's approval status and access to the Construction Training Directory and Construction Training Register being suspended or removed.

### **Action plan**

15. This will be issued where, in the reasonable opinion of CITB, the approval requirements have not been met by the Approved Training Organisation. You will receive a written action plan that will give clear guidance and a realistic timescale for the actions to be completed. You will not be approved during this period and, as a result, you will not have access to the Construction Training Directory or the Construction Training Register.

## **Category approval**

### **Assured**

16. If you wish to deliver your own training course, you will be required to submit a self-assessment detailing how your course meets the published short duration standard, along with any supporting evidence. This could include lesson plans, schemes of work or presentations and

notes. Once you have completed the self-assessment and have gathered the supplementary evidence, you will be required to upload these to the Construction Training Directory.

17. The submitted self-assessments and supplementary evidence will then be subject to a quality assurance intervention by a member of the CITB quality assurance team. CITB will select self-assessment submissions to sample as part of the approval process. CITB will use the sample to gain an assurance of the Approved Training Organisation approach. If the standard requires a visit to assure further requirements, this will be arranged with the Approved Training Organisation's named contact.
18. CITB will highlight the courses that have been reviewed as part of the approval sample and will assure other courses based on the findings of the reviewed courses.
19. Following the required CITB quality assurance intervention (visit and/or desk-based sampling), formal feedback will be provided. The outcomes will be as listed for the Approved Training Organisation approval process (Approval/Summary, Approval/Action Plan). Please refer to paragraphs 12, 13 and 14 for further clarification of these outcomes.
20. If the training course you wish to deliver is listed as a grant funded option (course title listed) but has no industry approved standard at the time of application, the self-assessment process is not required. The opportunity will exist for you to add your course details to the Construction Training Directory for publication. Once an agreed industry short duration standard is published, you will be notified and must complete the course self-assessment within 30 days of notification to maintain your status for that course on the Construction Training Directory. The self-assessment will be available in the Construction Training Directory for your completion.
21. E-learning and e-assessment is only permitted if the standard explicitly details that this is an appropriate media for delivery. This includes blended learning as well as courses delivered solely by e-learning and e-assessment.

### **CITB products**

22. These courses are designed, developed, owned and maintained by CITB, i.e. Site Safety Plus, Construction Plant Competence Scheme and health, safety and environment testing. These products have their own scheme requirements. Information on these products and how to become approved to deliver them can be accessed via the CITB website at [www.citb.co.uk](http://www.citb.co.uk). As a result, there is a supplementary application process for approval.

### **Recognised products**

23. CITB will recognise a range of qualifications accredited by awarding organisations and other third party awarding organisations or bodies. Full details can be found in the Construction Training Directory.
24. The approval for this product category requires the Approved Training Organisation to supply confirmation of approval (centre approval and scheme approval) with the related third party awarding organisation or body. In most cases this will be an approval certificate provided by the third party awarding organisation or body, listing the routes, qualifications and categories they are approved to deliver. In addition, a copy of the most recent external quality assurance monitoring report will be required, relating to the qualifications and/or schemes that you wish to be approved for.
25. This information will be reviewed by CITB's quality assurance team. Approval will be subject to the required third party documentation being supplied by you. As part of the quality assurance checks, CITB may confirm the accuracy of documentation with the issuing organisation.
26. E-learning and e-assessment is only permitted if the standard explicitly details that this is an appropriate media for delivery. This includes blended learning as well as courses delivered solely by e-learning and e-assessment.

## **Adding an additional course or category**

27. You can increase your portfolio on the Construction Training Directory as your business develops. You will be able to add courses within the assured and recognised categories without applications or cost if you already hold that category approval. You will need to complete a self-assessment and/or upload supplementary evidence to the Construction Training Directory prior to the delivery. CITB will confirm receipt and when you can commence delivery.
28. If you wish to add a CITB product to your approval, you will be required to complete an application for the specific product. This application will follow the scheme requirements, as detailed for each CITB product.

## **Updating CITB about a specific event**

29. As an Approved Training Organisation you have a requirement to make CITB aware if you have cause to believe that there has been any change in circumstances that could affect your approval status and/or delivery of any approved category. Examples of possible reasons for notification can be found in Appendix 4.
30. Notifications and updates can be made by emailing [quality.assurance@citb.co.uk](mailto:quality.assurance@citb.co.uk). If you are unsure if the change is specific to your approval, please contact CITB's quality assurance team to confirm and/or gain guidance. Failure to notify CITB immediately of a change could result in the suspension of your Approved Training Organisation. CITB will investigate all sources of information supplied by any third party that relates to approval and delivery of courses by Approved Training Organisations.

## **Equality of opportunity**

*CITB has a policy of equality of opportunity and diversity that aligns with the Equality Act and secondary legislation. CITB's policy on equal opportunities can be found on our website [www.citb.co.uk](http://www.citb.co.uk).*

## **Assured and CITB products**

31. CITB requires all Approved Training Organisations to have an Equal Opportunities policy and to offer a documented reasonable adjustment or special consideration policy to ensure all candidates have an equal chance of achieving their learning outcome.
32. Approved Training Organisations must document all requests for reasonable adjustments and/or special considerations and demonstrate how they have been applied, or the rationale for refusal.

## **Recognised products**

33. For recognised products, the third party awarding organisation or body requirements for reasonable adjustments must be followed.

## **Appeals and complaints**

34. You must be able to demonstrate that you have an up to date appeals and complaints policy and procedure for individuals to appeal against training and/or certification decisions. This must be freely available to candidates without the need for request. The policy and procedure must detail the required steps to be taken and differentiate between an appeal and a complaint.
35. You must be able to demonstrate how this is being formally communicated to all individuals who undertake training, as part of your Approved Training Organisation approval. The procedure must have a formal process with documented timescales and there must be an opportunity for

escalation if the appeal is not resolved. All appeals must be formally acknowledged upon receipt and conclusions formally communicated at the close of appeal to all those involved.

## **Recognised**

- 36.** For the recognised category, the appeals process for the third party awarding organisation or body must be followed, with CITB's involvement being limited to situations where the approval status of the Approved Training Organisation may be affected. Where there is not a third party awarding organisation or body requirement, you must adopt the approach detailed in paragraphs 33 and 34.

## **Conflict of interest**

*A conflict of interest or perceived conflict can be defined as a situation in which a person has private or personal interest sufficient to appear to influence the objective exercise of his/her official duties.*

- 37.** CITB requires all Approved Training Organisations to have processes to recognise and mitigate, wherever possible, conflicts of interest. CITB also recognises that some conflicts of interest will be unavoidable, particularly in the case of Approved Training Organisations that are employers who deliver in-house training. In such situations it is expected that reasonable and proportionate action will be taken to demonstrate that the potential for conflicts of interest to arise has been recognised, with steps taken to mitigate (for example, separation of delivery from administration or certification processes and quality assurance monitoring being undertaken by individuals who are not directly involved in delivery). These will need to be identified and documented as part of the initial Approved Training Organisation approval.

## **Staff requirements**

### **Trainers for assured categories**

- 38.** You are responsible for appointing appropriately qualified and competent staff who meet the specific requirements of the short duration standard that your course has been mapped against (refer to Appendix 3 for guidance). As good practice, opportunities for continuous professional development need to be provided to allow training staff to keep up to date. A record of continuous professional development should be kept (for example, industry or training best practice and subject matter). Evidence of how a decision on trainer suitability was reached, along with any relevant due diligence checks, must be made available to CITB upon request.

### **Trainers for recognised categories**

- 39.** You must be able to demonstrate, through your third party awarding organisation's quality assurance, that you meet all the requirements for staff to deliver training. This could be demonstrated by an external quality assurance report or approval letter for the third party awarding organisation or body.
- 40.** It is understood that this information will be in various formats depending on the category of approval and/or standard being delivered. For the recognised category, confirmation that the relevant checks have occurred by the appropriate third party body are sufficient if needed by CITB.

### **Trainers for CITB products**

- 41.** You must meet the requirements set out in the relevant scheme rules. Products in this category include Construction Plant Competence Scheme and Site Safety.

## **Quality monitoring staff**

42. You are responsible for appointing appropriately qualified and competent staff to carry out quality monitoring and the management of your quality management system. It is expected that staff undertaking this role will have necessary subject knowledge to aid decision making and maintain a high standard of delivery. In addition, those staff must be familiar with the content of this document and keep up to date with any changes that occur.
43. The Approved Training Organisation must have a quality management system that details how the quality of delivery and supporting processes, including administration, course feedback, accuracy and quality of delivery, will be monitored. This will include the accuracy of the Construction Training Directory and Construction Training Register uploads.

## **Recognised**

44. For recognised products, it is accepted that the third party organisation or body will check these requirements. Access to external quality reports will be sufficient to demonstrate ongoing performance. You will, however, be monitored by CITB for the accuracy of the information uploaded to the Construction Training Directory and Construction Training Register.

## **Delivery resources**

45. You must have adequate resources for the delivery of training, and all resources provided for use in the training must be fit for purpose, taking into account the environment being used for delivery. Any requirements listed in the short duration standard (Assured product) or scheme rules (CITB product) are mandatory.

## **Data requirements for delivered training**

46. You must have and maintain a reliable and auditable system of the training, testing and/or assessment delivered, along with any quality assurance, for a minimum period of three years. This information could be used to substantiate any claims and/or resolve any appeals during the three year period. The records will form part of the quality assurance checks and be used to audit the data entries on the Construction Training Directory and the Construction Training Register.
47. The following information must be made available to CITB upon request, listing all individuals who have completed training, testing and/or assessment.

### **Candidate details**

- Confirmation of identification.
- Employer's name, address and contact details, including telephone number.
- Employee's Levy number (as applicable).
- Trainer's (or trainers') name(s).
- Quality assurance person's name.
- Consent to use personal data on the Construction Training Register.

### **Individual training records**

- Name of training course delivered, including date, location, and trainer or tester.
- Candidate and employer feedback (as applicable).

### **Records of quality monitoring activity**

- Quality policy and plan of monitoring activity (audit schedule, if applicable).
- Quality monitoring activity details, including who, what and when (for example, audits).

## Provision of data

48. You must use this exact wording (*Fair Processing Notice Appendix 5*), when inducting candidates on to course(s), relating to the use of their personal data for the Construction Training Register. This information includes how the candidate can apply to have their data unpublished from the register. The Fair Processing notice also explains the benefits to candidates of having their data included on the Construction Training Register.
49. You will be required to have documented procedures in place that will facilitate the audit of paragraph 47. Failure to keep accurate records could result in suspension and/or termination of the Approved Training Organisation.
50. The Construction Training Register will require you to confirm that you have met the requirement detailed in paragraph 47

## Administrative requirements

### All product categories

51. As an Approved Training Organisation you will be required to update the Construction Training Register. This must be completed accurately and within 10 working days, and will be measured as part of the quality assurance arrangements. Access to the register can be found at [www.citb.co.uk](http://www.citb.co.uk). All information must be accurately uploaded to avoid delays in corresponding grant payments to employers (where applicable). Failure to complete this in a timely manner will result in increased interventions by CITB and this could affect your ongoing approval. The use of the Construction Training Register must follow the user guides and any additional requirements provided by CITB. *For CITB products the upload will be made from existing systems ('Awards Online' and 'CPCS On') and therefore there is no requirement to duplicate the upload.*
52. Access to the Construction Training Register and the Construction Training Directory is administered by a user name and password system, linked to designated staff within the Approved Training Organisation, relevant to their roles. As a result, staff must be made aware of their responsibilities for their user name and password, including confidentiality. Passwords must not be shared between staff, and inappropriate use will constitute maladministration and/or fraud.

### Recognised

53. For recognised products, achievement data must only be submitted to the Construction Training Directory once certification has been confirmed and received from the third party awarding organisation or body. Internal quality monitoring completion dates must not be used. CITB will use the certification date as the point in time when auditing the system uploads.

## Confirmation of identity

54. You must carry out appropriate checks to confirm the identity of candidates undertaking training, testing and assessment.
55. Where an Approved Training Organisation is delivering to its own staff (for example, in-house training) and if confirmation of identity is already held as part of the routine recruitment and right to work, further information is not required. This information must be available for CITB audit purposes, if requested.

## Use of language in training, testing and assessment

56. All training, testing and assessment must be delivered in English, Welsh or Irish, unless another language is specifically detailed in the training standard or scheme specific guidance.

## Quality management systems

### Assured products

57. Delivery of the assured product does not require internal verification, as is the case in many regulated qualifications (such as NVQs). Unless the standard requires specific qualifications and expertise, there is no requirement for your quality assurance staff to hold a verification qualification. The requirements for quality assurance are as follows.
- Providing the relevant levels of quality monitoring to support the delivery of the training course, as required by the training standard. This will include, but not be limited to, checks that submitted self-assessments are being followed by training staff, checks on the use of the Construction Training Directory and the Construction Training Register by staff, and evaluation of candidate feedback.
  - Providing support, training and continuous development to trainers to ensure consistency of approach and delivery to the agreed standards.
  - Keeping formal, documented records of quality monitoring activity that supports the delivery of the training courses, including, but not limited to, feedback reports, quality monitoring plans and strategies.
  - Maintaining continuous professional development records detailing the activity undertaken by the training delivery team.
  - Reporting to CITB when you have cause to believe the Approved Training Organisation has not been compliant with the contract (including the scheme rules or these requirements).
  - Notifying CITB immediately of any allegation of fraud, malpractice or maladministration.
  - Providing information to, and facilitating quality interventions from, authorised CITB quality assurance staff, as required.
  - Agreeing and implementing any actions, within timescales identified, as a result of CITB's quality interventions.
  - Checking that any formal testing requirements detailed in the standard are being followed.

### CITB products

58. All CITB products have specific scheme requirements and guidance. These can be found on the CITB website at [www.citb.co.uk](http://www.citb.co.uk). Any internal quality arrangements required to be followed can be found within the scheme rules for the specific product.
59. For recognised training and qualifications, third party awarding organisations will monitor processes relating to third party approval. This includes internal quality assurance. Refer to the relevant guidance supplied by the appropriate third party awarding organisation or body for specific guidance. CITB expects Approved Training Organisations to demonstrate best practice and compliance with the stated third part requirements.

## **CITB monitoring**

60. All Approved Training Organisations will receive monitoring interventions from CITB to ensure consistency and quality of delivery and accuracy of data submission. These will involve one or more of the following activities.
- Desk-based reviews of quality assurance training delivery records, including sampling of course information published on the Construction Training Directory.
  - Candidate and employer contact (phone or email) to gain independent feedback.
  - Quality assurance visits.
  - Centre self-assessments.

### **Assured**

61. Due diligence checks will be made by CITB at the Approved Training Organisation application stage, with guidance given where/if additional information is required.
62. CITB will take a risk-based approach for the quality assurance of the Approved Training Organisations. This will include desk-based assurance, as well as physical visits by a CITB member of the team, at least once per year.

### **Desk-based request and sample**

63. CITB may request information from the Approved Training Organisation for a desk-based intervention. CITB will detail the timescales for any information to be supplied within the initial request.
64. CITB will provide feedback on its review of the sampled records. This will be sufficiently detailed to enable you to take any relevant action. If you need to take action, the feedback will be in line with Appendices 1 and 2. This will help you to rectify any concerns identified. A further sample may be requested to demonstrate these requirements are being fully met. This feedback will be sent to the responsible officer at the Approved Training Organisation.
65. CITB may suspend an Approved Training Organisation:
- if information is not submitted for the required sample within the timescales provided, or
  - to meet any identified resultant action points following a CITB quality intervention.
66. CITB may investigate any anomalies and/or carry out a site visit to gather information and view additional records as a result of an unsuccessful quality intervention. If CITB is not provided with access to the premises, people and records, CITB will suspend the Approved Training Organisation with immediate effect.

## **CITB quality assurance visits**

67. Centre based visits will form part of the CITB quality assurance arrangements. These will be carried out to review training records (including completed provision of personal data requirements), and/or observe training delivery, and/or view facilities, where identified, as required, to review the arrangements for training delivery at the Approved Training Organisation. A visit will be carried out by a member of the CITB quality assurance staff.
68. A member of the quality assurance team will make contact with you not fewer than 7 working days before the proposed visit date. This will be to confirm the arrangements for the visit.

69. Once agreed, formal notification of the visit will be sent to the named contact. If, in the interim period, you wish to cancel this prearranged visit, you must be able to demonstrate a satisfactory reason for the cancellation request. Any cancellations made within seven working days of the planned visit will be charged at our standard daily rate, as detailed in the CITB fees list. The Approved Training Organisation approval status may also be suspended until the visit has been carried out.
70. You will receive a formal notification of the outcome of the audit not more than 10 working days after the visit. This will be sufficiently detailed to rectify any concerns identified. CITB may carry out further visits to determine the completion of any identified action plan.
71. CITB may, from time to time, undertake unannounced or short notice visits to minimise the risk of breaches in the provision of data requirements (paragraph 45) and/or unsubstantiated entries on to the Construction Training Register. If access is not provided to premises, people and records, CITB may immediately suspend the Approved Training Organisation.
72. CITB may, from time to time, moderate reports completed by members of the quality assurance team and reduce or escalate their findings as part of our own quality assurance arrangements for CITB products.
73. The quality assurance monitoring for CITB products will follow the processes detailed in the specific scheme rules. These can be found on the CITB website at [www.citb.co.uk](http://www.citb.co.uk).

### **Recognised**

74. CITB will rely on the third party awarding organisation or body quality assurance arrangements for the delivery of their products. CITB will seek assurance of compliance from the Approved Training Organisation through the quality assurance or external verifier reports.
75. CITB will request, from time to time, and at least once per year, a copy of the external verifier report to demonstrate compliance. Failure to supply this information or make CITB aware of a **cause to believe** the ongoing ability to deliver course(s) or qualification(s) will result in the Approved Training Organisation status being suspended.
76. CITB may request further information regarding affected individuals if concerns are identified or sanctions or actions are applied. On the receipt of this information a decision on the course of action to be taken will be made.

### **Malpractice, maladministration and counter fraud**

77. Malpractice is a deliberate or reckless act of an individual or business to dishonestly claim learning outcomes and/or certificates for individuals, or to obtain such achievement through fraud or deception.
78. Maladministration is any activity, neglect, default or other practice that results in the non-compliance of the Approved Training Organisation (or centre, or individual undertaking training) with the specified requirements for the delivery of agreed training and qualifications. CITB requirements are defined in this document and in the specific related scheme rules for products.
79. Fraud is wrongful or criminal deception intended to result in financial or personal gain. Furthermore, fraud is an act that does not comply with CITB conditions and brings the authenticity, reliability and integrity of training into question.

- 80.** You are required, as an Approved Training Organisation, to report all cases of alleged malpractice, maladministration or fraud to CITB by emailing [report.it@citb.co.uk](mailto:report.it@citb.co.uk). All staff involved in delivery, administration or quality monitoring activities must have detailed knowledge of the Approved Training Organisation's counter fraud and bribery policy.
- 81.** You must have in place a documented whistleblowing policy that has been communicated to your staff to enable them to report instances of, but not limited to, malpractice, maladministration and/or fraud.
- 82.** Upon receipt of any fraud or bribery reports, CITB will suspend the Approved Training Organisation's approval to protect any future investigation.
- 83.** CITB will pass all details to the CITB Fraud department to carry out an investigation. This could include (but is not limited to) centre visits, staff interviews, candidate interviews and investigation of all relevant paperwork.
- 84.** In the first instance a report of the investigation will be sent to the CITB fraud manager and CITB quality and verification manager. A decision will then be made within 10 working days, where practicable, as to the outcome and any relevant subsequent action.
- 85.** In the event of any withdrawal (voluntary or not) you must make all reasonable efforts to ensure candidates are not adversely affected. You must make provisions for all paperwork to be stored and accessible for a period of three years and, where needed, CITB can help you with this. You must make provisions for candidates that are still active and have not completed their training, ensuring that they have given permission for their personal details to be passed to a new Approved Training Organisation, prior to the withdrawal.
- 86.** If you fail to co-operate with CITB at any stage of the investigation process this will result in suspension of the Approved Training Organisation status.
- 87.** If you are implicated in a case of malpractice, maladministration or fraud that is upheld by CITB, your Approved Training Organisation status approval will be removed. CITB will terminate with immediate effect any Approved Training Organisation where fraud is identified.
- 88.** If you wish to withdraw your Approved Training Organisation status you must ensure the following.
  - CITB has been notified formally in writing, giving three months' notice prior to taking any action. This must be completed by the Approved Training Organisation's authorised representative and must detail the reason for the withdrawal.
  - For all candidates who have already completed, or will complete, training during the three month notice period, any achievements have been uploaded to the Construction Training Register.
  - If you have candidates where outstanding commitments have been made, suitable arrangements are in place for these individuals to complete their training. If transferred to another Approved Training Organisation, individual agreement is sought and confirmation of personal data sharing is gained.
  - Provision is made to store training records, as detailed in the data requirements section of this document. These must be kept for a period of three years.
  - You facilitate and allow a CITB closure visit, if required by CITB.

## Code of conduct

- 89.** CITB expects its staff to conduct themselves with integrity, impartiality and honesty. Dealings with customers are expected to be completed sympathetically, efficiently, promptly (within stated timescales, where applicable) and without bias.
- 90.** This behaviour is also expected to be reflected by the Approved Training Organisation's staff and associated personnel in their dealings with CITB staff. As a result, CITB will take appropriate action if this is found to fall below our expectations.

## Modern slavery

- 91.** Section 54 of the Modern Slavery Act 2015 sets requirements for large, commercial organisations to produce an annual slavery and human trafficking statement. CITB's statement is published on the CITB website at [www.citb.co.uk](http://www.citb.co.uk).
- 92.** Any Approved Training Organisation that meets the requirements set out in Section 54 of the Modern Slavery Act 2015 would be required to have in place their own statement covering the areas listed within the Act. For smaller organisations, it is expected that Approved Training Organisations are aware of the steps being taken by CITB in this area and will be familiar with the contents of the Act, taking reasonable actions to comply.

## Appeals

- 93.** In the event that a sanction is applied, due to the non-compliance with the requirements set out in the contract (including this document and any specific scheme rules) or as a result of an instigated CITB investigation, an Approved Training Organisation may wish to appeal. This must clearly set out in writing the grounds for the appeal, listing any evidence that is held in support. The appeal must be made within 10 working days of the original decision being made and it should be addressed to:

Quality and Verification Manager  
CITB  
PO Box 320  
Bircham Newton  
King's Lynn  
Norfolk  
PE30 6RH

Your appeal will normally be heard within 10 working days of receipt. The nature and complexity of the appeal may necessitate this period being extended. Unless alternative arrangements have been made with the agreement of the quality and verification manager, any decision (and resultant action) will remain in place until the appeal decision has been communicated to you in writing.

## Appendix 1

### Approved Training Organisation approval criteria

#### Management and systems

Reference	Approval criteria	Examples	Products	Compliance reference
1.0	<p>Policies are in place that help the provider to operate effectively and meet the agreed requirements for an Approved Training Organisation</p> <p>These policies and procedures are reviewed at least annually and updated with relevant changes</p> <p>All changes are communicated to relevant parties (candidates, delegates, staff and CITB)</p>	<ul style="list-style-type: none"> <li>• Health and safety</li> <li>• Equality and diversity</li> <li>• Counter fraud and bribery</li> <li>• Quality management systems</li> <li>• Appeals</li> <li>• Conflicts of interest</li> <li>• Whistleblowing</li> </ul>	All categories	Level 1
1.1	<p>Insurances are in place that protect all stakeholders (delegates, staff and customers)</p>	<ul style="list-style-type: none"> <li>• Evidence of employer liability</li> <li>• Evidence of public liability</li> <li>• Evidence of professional indemnity</li> </ul>	All categories	Level 1
1.2	<p>The Approved Training Organisation carries out and records due diligence checks for delivery staff to ensure suitability and that they meet any given CITB, standard or scheme requirements</p> <p>Evidence of these checks and staff details and qualifications are available for audit</p>	<ul style="list-style-type: none"> <li>• Records of checks made</li> <li>• Staff qualifications and CVs</li> </ul>	Assured and CITB products	Level 2
1.3	<p>The Approved Training Organisation keeps CITB up to date with any changes that could affect delivery or status of the provider. Guidance is sought if any uncertainty exists</p>	<ul style="list-style-type: none"> <li>• Records of updates provided</li> </ul>	All categories	Level 1 to Level 3
1.4	<p>The Approved Training Organisation submits all required details accurately to the Construction Training Register within the stated timescales</p>	<ul style="list-style-type: none"> <li>• Records of timely, accurate submissions</li> </ul>	All categories	Level 1 to Level 3

## Appendix 1

### Approved Training Organisation approval criteria

#### Management and systems *continued*

Reference	Approval criteria	Examples	Products	Compliance reference
1.5	The Approved Training Organisation maintains auditable, accurate records and provides access to CITB on request (including Approved Training Organisation premises, staff and training delivery locations)	<ul style="list-style-type: none"> <li>• Training delivery staff</li> <li>• Candidate and delegate information</li> <li>• Quality assurance</li> </ul>	All categories	Level 1 to Level 3
1.6	The Approved Training Organisation has clearly written operating procedures, covering all aspects of the training delivery and related administration activities  Any conflicts of interest are identified and documented with steps taken to minimise risk in the delivery. Where risks cannot be minimised, guidance is sought from CITB	<ul style="list-style-type: none"> <li>• Operating procedures related to Approved Training Organisation delivery</li> <li>• Conflict of interest policy</li> <li>• Approved Training Organisation organisational chart</li> </ul>	Assured and CITB products <i>Please refer to specific scheme rules for detail</i>  Recognised <i>Please see specific guidance for this category</i>	Level 1
1.7	Individual agreement (or opt out) is gained from prospective candidates or delegates to allow the use of personal data for the purpose of the CITB, CTR and Approved Training Organisation meeting current legislative requirements  Confirmations to be available for audit	<ul style="list-style-type: none"> <li>• Candidate confirmations of agreement</li> </ul>	All categories	Level 2
1.8	Actions arising from CITB quality interventions are shared with relevant staff and completed within agreed timescales	<ul style="list-style-type: none"> <li>• Evidence of closure of actions</li> <li>• Meeting minutes</li> <li>• Changes to processes</li> <li>• Improved records</li> </ul>	Assured and CITB products	Level 2

## Appendix 1

### Approved Training Organisation approval criteria

#### Resources

Reference	Approval criteria	Examples	Products	Compliance reference
2.0	Sufficient qualified staff are in place to meet the demands of delivery, as specified in the scheme rules or training standard	Number will be determined by: <ul style="list-style-type: none"> <li>• standard requirements</li> <li>• delegate numbers</li> <li>• agreed course requirements or scheme rules</li> </ul>	Assured and CITB products <i>Please refer to specific scheme rules for detail</i>  Recognised <i>Please see specific guidance for this category</i>	Level 3
2.1	Approved Training Organisation staff have clearly defined roles, are aware of their responsibilities and are kept up to date with relevant changes. Relevant CPD activities are undertaken and recorded to Approved Training Organisation staff	<ul style="list-style-type: none"> <li>• Role descriptions</li> <li>• Approved Training Organisation organisational chart</li> <li>• Meeting minutes and/or records of internal communication</li> <li>• CPD records</li> </ul>	Assured and CITB products <i>Please refer to specific scheme rules for detail</i>  Recognised <i>Please see specific guidance for this category</i>	Level 1
2.2	Standards and self-assessment documentation is held, fully completed and available for CITB audit on request	<ul style="list-style-type: none"> <li>• Standards and self-assessment documents</li> </ul>	Assured	Level 2
2.3	Required physical resources are listed by the standard or scheme rules are in place, meeting any given specification  Current UK Health, Safety and Welfare Regulations are followed, along with any relevant industry best practice	<ul style="list-style-type: none"> <li>• Standard self-assessment documents</li> </ul>	Assured	Level 2
2.4	Health, safety and welfare systems are in place to protect the Approved Training Organisation staff, candidates and others. These are reviewed and maintained	<ul style="list-style-type: none"> <li>• Risk assessments</li> <li>• Method statements</li> <li>• Health and safety policy</li> <li>• Health and safety audits and records of updates</li> <li>• Maintenance records</li> </ul>	Assured and CITB products	Dependent on risk  Level 1 to Level 3

## Appendix 1

### Approved Training Organisation approval criteria

#### Candidates

Reference	Approval criteria	Examples	Products	Compliance reference
3.0	Information submitted to the Construction Training Directory is accurate, allowing employers and delegates to make informed decisions on the content of the training course	<ul style="list-style-type: none"> <li>Course information held on the Construction Training Directory that accurately describes the training being offered</li> </ul>	All categories	Level 2
3.1	All candidates and delegates undergo initial assessment to accurately identify course sustainability and where any special requirements or reasonable adjustments are required. Records are kept  Any identified needs are recorded. The CITB Equal Opportunities and Reasonable Adjustments Policy and/or specific scheme rules are followed, where possible, to provide fair access	<ul style="list-style-type: none"> <li>Candidate initial assessment results and records of any adjustments made</li> </ul>	Assured and CITB products	Level 2
3.2	Candidate and delegate identification checks are undertaken and recorded in line with the requirements listed in Appendix 3 and paragraphs 43 and 44 of this document	<ul style="list-style-type: none"> <li>Candidate ID checks</li> </ul>	Assured and CITB products	Level 2
3.3	Candidates and delegates undertake a suitable and sufficient induction for the training being provided. Accurate confirmations are kept	<ul style="list-style-type: none"> <li>Records of candidate inductions</li> </ul>	Assured and CITB products	Level 1
3.4	Training, assessment and delivery are undertaken in English, Welsh or Irish. If delivery occurs in another language, this is permitted and carried out in line with the specific scheme guidance	<ul style="list-style-type: none"> <li>Initial assessment records</li> <li>Induction records</li> <li>Internal quality assurance monitoring</li> <li>Records of delivery</li> <li>Records of authorised delivery if another language is used</li> </ul>	Assured and CITB products	Level 3

## Appendix 1

### Approved Training Organisation approval criteria

#### Candidates *continued*

Reference	Approval criteria	Examples	Products	Compliance reference
3.5	Candidates and employers are made aware of the Approved Training Organisation's appeal and complaints procedure. Access is given without the need for request	<ul style="list-style-type: none"><li>• Complaints and appeals procedures</li><li>• Candidate induction records</li><li>• Feedback from employers and candidates</li><li>• Records of appeals and complaints</li></ul>	Assured CITB products	Level 2

## Appendix 1

### Approved Training Organisation approval criteria

#### Internal quality assurance

Reference	Approval criteria	Examples	Products	Compliance reference
4.0	Quality management systems are clearly documented and cover all aspects of the Approved Training Organisation's processes	<ul style="list-style-type: none"> <li>QMS systems that monitor</li> </ul>	Assured and CITB products	Level 1
4.1	The Approved Training Organisation has in place suitably qualified staff to carry out quality monitoring activity	<ul style="list-style-type: none"> <li>Staff requirements (paragraph 35)</li> </ul>	Assured and CITB products	Level 3
4.2	Records of quality monitoring are maintained in line with agreed quality management system requirements, allowing for audit, and available for review		Assured and CITB products	Level 2
4.3	<p>Quality monitoring activity ensures that CITB product scheme rules and industry standard requirements are consistently followed by the delivery team</p> <p>Records of training documents demonstrate full completion of published standards or course requirements. Records of training meet CITB data requirements (paragraph 43 and 44)</p>	<ul style="list-style-type: none"> <li>Evidence of quality system review and updates</li> <li>Evidence of closure of agreed CITB quality interventions</li> </ul>	Assured and CITB products	Level 2
4.4	<p>Quality monitoring systems and processes are regularly reviewed, with changes made to improve, where needed</p> <p>Actions from CITB quality interventions are actioned and used to update internal processes to avoid repetition or reoccurrence</p>	<ul style="list-style-type: none"> <li>Evidence of quality system review and updates</li> <li>Evidence of closure of agreed CITB quality interventions</li> </ul>	Assured and CITB products	Level 1

## Appendix 1

### Approved Training Organisation approval criteria

#### Records

Reference	Approval criteria	Examples	Products	Compliance reference
5.0	Records	<ul style="list-style-type: none"> <li>Evidence of data collection, review and relevant changes (for example, date review, meeting minutes and procedure changes)</li> </ul>	Assured and CITB products	Level 1
5.1	<p>The Approved Training Organisation collects and records candidate, delegate and employer feedback</p> <p>This is regularly reviewed and used to improve the quality of delivery</p>	<ul style="list-style-type: none"> <li>Evidence of employer and candidate delivery</li> <li>Records of changes made</li> <li>Evidence of action taken as a result of feedback</li> </ul>	Assured and CITB products	Level 1
5.2	<p>The approved training organisation will have processes to ensure Delegates are made aware of any requirement to provide photographic identification on the first day of a course.</p>	<p>Evidence of;</p> <ul style="list-style-type: none"> <li>Processes and procedures</li> <li>Pre-course information and joining instructions</li> <li>Staff training records</li> </ul>	Assured and CITB Products	Level 1
5.3	<p>The trainer shall capture evidence of the photographic identification and must include as a minimum;</p> <p>ID description;</p> <p>Last 4 digits of the identification or photo copy of the identification should there be no identification numbers.</p>	<p>Evidence of;</p> <ul style="list-style-type: none"> <li>Photographic identification log</li> </ul>	Assured and CITB products	Level 1 to Level 3

## Appendix 2

### Corrective actions

Upon the conclusion of a quality assurance intervention, where it has been found that the Approved Training Organisation is not compliant with Appendix 1, CITB will issue a corrective action as detailed below.

#### **Action plan – Level 1**

This will not affect the Approved Training Organisation's ability to deliver training or access the Construction Training Directory or Construction Training Register. An action plan will be issued by the CITB Quality Assurance department and/or CITB quality representative detailing the required action to be undertaken in order to become compliant with the approval criteria.

#### **Removal of access to either the Construction Training Register or Construction Training Directory – Level 2**

The Approved Training Organisation's details will be temporarily removed from the Construction Training Directory, or the Approved Training Organisation will be prevented from uploading achievement data into the Construction Training Register. Actions will be provided by the CITB Quality Assurance department and/or quality representative and successful completion of these will be required by CITB before access will be reinstated, returning the Approved Training Organisation to be compliant with the approval criteria in Appendix 1.

#### **Removal of access to both the Construction Training Directory and Construction Training Register – Suspension of Approved Training Organisation status – Level 3**

Due to the severity of the areas identified as requiring attention, the Approved Training Organisation will have all course details removed from the Construction Training Register. Where possible, time-bound actions will be provided by the CITB Quality Assurance department and/or quality representative, which will require completion before access rights will be reinstated, returning the Approved Training Organisation to be compliant with the approval criteria in Appendix 1.

#### **Persistent and repeated failures**

In situations where the Approved Training Organisation fails to remedy a shortfall identified by CITB or consistently repeats the same shortfall, CITB may escalate the level of action applied to the Approved Training Organisation.

## Appendix 3

### Accepted trainer qualifications

Listed in the table below are the recognised trainer qualifications (Assured category and relevant CITB products). (*This list is accurate at the time of publication, and will be subject to change and review based on future requirements.*)

If the prospective trainer has completed a qualification or certified course not listed below, an application can be made to the CITB quality assurance team. Relevant additional information will be required to be submitted to support the application.

PTLLS Level 3	Preparing to Teach in the Lifelong Learning Sector
CTLLS Level 3	Certificate in Teaching in the Lifelong Learning Sector
DTLLS Level 5	Diploma in Teaching in the Lifelong Learning Sector
PGCE	Postgraduate Certificate in Education
C&G 7302	Certificate in Delivering Learning
C&G 7303	Preparing to Teach in the Lifelong Learning Sector
C&G 7307	Certificate in Delivering Learning/Teaching Adults
C&G 7407	Certificate in Further Education Teaching
PCET	Post Compulsory Education and Training
Construction Plant Competence Scheme Instructor Card	
Certificate of Training Achievement Instructor Card	
L Unit 9 (L9)	Create climate that promotes learning
L Unit 10 (L10)	Enable learning through presentations
L Unit 11 (L11)	Enable learning through demonstrations and instruction
L Unit 12 (L12)	Enable learning through coaching/mentoring
Level 3 In Education and Learning	
LEVEL 4 In Education and Learning	
TAQA L3 Award in Assessing Vocationally Related Achievement	
TAQA L3 Certificate in Assessing Vocational Achievement	

## Appendix 4

### Example reasons to update CITB

The items listed below are to provide an indication of possible incidents that would require an Approved Training Organisation to provide an update to CITB. (*This list is not exhaustive.*)

- A material change in governance structure or legal status.
- A change of control.
- A merger between it and another Approved Training Organisation, company or organisation.
- Any insolvency or bankruptcy proceedings.
- There is a substantial error in the published training standard (Assured) or CITB product requirements.
- There has been a loss or theft of, or a breach of confidentiality in, Approved Training Organisation records (for example, delivery and administration).
- The Approved Training Organisation cannot supply requested information to CITB by a stipulated date.
- There has been a failure in the delivery of training and/or related assessments or testing that threatens industry confidence in the training, assessment or testing entered on the Construction Training Directory.
- Loss of key Approved Training Organisation staff that will limit or prevent the delivery of approved product categories (Assured, CITB products and Recognised).
- The Approved Training Organisation has issued incorrect results or certificates.
- The Approved Training Organisation believes that there has been an incident of malpractice or maladministration that could invalidate the achievement of a training standard, CITB course or regulated certificate.
- A third party awarding organisation has rescinded qualifications and/or certificates.
- A qualification or certificate has been returned as a result of an error and the achievement is no longer valid.
- Fraudulent or inappropriate use of the Construction Training Directory and Construction Training Register by Approved Training Organisation staff.
- The Approved Training Organisation is named as a party in any criminal or civil proceedings or is subject to a regulatory investigation or sanction by any professional, regulatory or government body.
- A senior officer of the Approved Training 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.

## Appendix 5

### Fair processing Notice statement

***Fair Processing Notice***

*The information you provide to the CITB Approved Training Organisation, {insert name}, will be used for administering Training Courses and for purposes connected with the Construction Industry Training Board's ("CITB") role as an Industrial Training Board in accordance with the Industrial Training Act 1982.*

*Your data will be held securely and treated confidentially and will not be disclosed to external parties other than as required for the purposes described above. This may include sharing your information on the CITB Construction Training Register as well as with employers, awarding organisations, competency card schemes or training providers.*

*Further information, including your legal rights and how your information may be used, can be found by:*

- viewing the CITB Privacy Notice online at [citb.co.uk/privacy](http://citb.co.uk/privacy);*
- asking the Approved Training Organisation for information about how they manage your personal data.*

## Glossary

Term	Definition
Appeal	The process through which a decision may be challenged on the outcome of an enquiry about results or, where appropriate, other procedural decisions affecting a centre or individual learner
Approved Training Organisation (ATO)	A commercial training provider, in-house training department, college, university, charity or federation delivering construction-related training courses and qualifications, delivered to the industry or CITB standard, who has successfully completed the CITB approval process
Approved Training Organisation authorised representative	A named individual in the Approved Training Organisation responsible for the overall quality assurance, management and administration of product category/s approved
Assessment	A process of making decisions about the extent to which a delegate's or candidate's performance meets the learning outcomes for an agreed standard or training course. Assessment methodology for the Assured category is listed within the standard
Awarding organisation	A third party body that is regulated by OFQUAL, SQA or CECA and awards qualifications
Candidates and/or delegates	Individuals that are undertaking training, assessment or testing included in the defined product category for an Approved Training Organisation
Category (product)	Assured, CITB products and Recognised
Competent	Having the necessary skills, knowledge and experience to carry out a task safely and to the standard required
Construction Training Directory (CTD)	An online catalogue containing the details of training courses delivered to an industry or CITB standard
Construction Training Register (CTR)	An online database that contains an individual's transferrable, construction-related training courses and qualifications
Continuous professional development (CPD)	The process of tracking and documenting the skills, knowledge and experience that is gained both formally and informally as work is carried out, beyond any initial training. It's a record of what is experienced, learnt and then applied
Corrective action	Actions given by the CITB Quality Assurance department or authorised member of staff that align to Appendix 1, that are required to be completed by the Approved Training Organisation to become compliant
Customer co-ordinator	A member of CITB staff assigned to centres to give a single point of contact

## Glossary

Term	Definition
National construction ID	A unique identifier assigned by CITB to an individual (an apprentice or learner) whose achievements are recorded on the National Register. This identifier replaces the existing Phoenix ID but will maintain traceability to the legacy identifier
Quality management system	A collection of business processes focused on consistently meeting customer requirements and enhancing their satisfaction
Standards	Agreed delivery criteria for a specific activity or topic area that are used to standardise training across the construction industry
Whistleblowing process	A process for reporting inappropriate practice in the Approved Training Organisation