



Requirements for Approved Training Organisations January 2023

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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 how we support and fund training. This has led to the introduction of the training model that includes the Construction Training Register and Construction Training Directory. CITB will achieve its approach through a network 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 approach are to:

- bring greater standardisation and consistency of training
- 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 any training provided to workers in construction meets the required standard
- Putting in place a register of delegates' training achievements that will give visibility of 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 the industry
- Paying CITB grants directly to employers who book their workers onto training courses; payment will be made upon completion of training, as it is entered on to the register. By doing this we can remove duplication and direct 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.
- Appropriate scheme requirements documents.
- Forms of Agreement.
- eLearning and e-assessment Strategy.
- CITB Fees list.

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 mobile teams, 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). Secondly, 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 Recognised Organisation, CITB will offer you the opportunity to become a CITB Approved Training Organisation to gain access to the Construction Training Register and Construction Training Directory. CITB will gain an assurance through the Recognised Organisation'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 Recognised 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. 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 conduct 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.
 - Companies House or Registered Charity Number. (As applicable)
 - 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 regulated qualifications or unregulated training courses.

Approved Training Organisation status approval

Approval

- 13.** You will be approved once you have demonstrated, in 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 (as applicable) 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).

Action plan

- 14.** This will be issued where, in the reasonable opinion of CITB, the approval requirements have not been met by the 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

15. 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 via your CITB Online ATO Portal, <https://myportal.citb.co.uk/register-online/>.
16. The submitted self-assessments and supplementary evidence will then be subject to a quality assurance review 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.
17. 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 previously reviewed courses.
18. Following the required CITB quality assurance reviews (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, Approval/Action Plan). Refer to paragraphs 13, and 14 for further clarification of these outcomes.
19. If the training standard you wish to deliver is listed as a grant funded option (standard 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 your CITB Online Portal, <https://myportal.citb.co.uk/register-online/> for your completion.
20. 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. The use of e learning and e assessment is not permitted where the standard is in development.

CITB products

21. These courses are designed, developed, owned, and maintained by CITB, i.e., Site Safety Plus, 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 following link <https://www.citb.co.uk/standards-and-delivering-training/site-safety-plus-ssp/how-to-become-a-site-safety-plus-ssp-centre/> . As a result, there is a supplementary application process for approval.

Recognised products

22. CITB will recognise a range of courses and qualifications (as applicable) accredited by Awarding Organisations and other Recognised Organisations or bodies. Full details can be found in the Construction Training Directory.

23. The approval for this product category requires the Approved Training Organisation to supply confirmation of approval (centre approval and scheme approval) with the related Recognised Organisation or body. In most cases this will be an approval certificate provided by the Recognised 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 to deliver.
24. CITB's quality assurance team will review this information. Approval will be subject to the Recognised Organisation's documentation being supplied by you. As part of the quality assurance review, CITB will conduct due diligence to confirm the accuracy of documentation with the issuing organisation.
25. 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.
26. CITB may from time to time conduct its own quality assurance audits with approved training organisations in this category to assure itself of the quality and consistency of training delivery. This may include but not limited to centre visits, documentation reviews and delegate interviews.

Approval to deliver Plant Operative Training

27. In addition to the paragraph 22-26, if you wish to deliver Plant Operative training, you must also meet all the requirements detailed in appendix 6.

Adding an additional course or category

28. 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 your CITB Online Portal, <https://myportal.citb.co.uk/register-online/> prior to the delivery. CITB will confirm receipt and when you can commence delivery.
29. 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.
30. Automatic approval will not apply to add plant standards if you do not hold an approval specifically for plant with a recognised organisation. If you wish to add plant specific training to your portfolio, you will need to demonstrate that you meet the requirements detailed in appendix 6.

Updating CITB about a specific event

31. As an Approved Training Organisation, you have a responsibility 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 reasons for notification can be found in Appendix 4.
32. Notifications and updates can be made by emailing quality.assurance@citb.co.uk. If you are unsure if the change is specific to your approval, contact CITB's quality assurance team to confirm and/or for 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

33. 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, <https://www.citb.co.uk/standards-and-delivering-training/approved-training-organisations/our-approach-to-managing-atos/equality-and-diversity-policy/>

Assured and CITB products

34. CITB requires all Approved Training Organisations to have an Equal Opportunities policy and to offer a documented reasonable adjustment and special consideration policy to ensure all delegates have an equal chance of achieving their learning goal.
35. 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

36. For recognised products, the Recognised Organisation or body requirements for reasonable adjustments and/or special considerations must be followed.

Appeals and complaints

37. 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 achievement decisions. This must be freely available to delegates 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.
38. 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

39. For the recognised category, the appeals process for the Recognised Organisation 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 Recognised Organisation requirement, you must adopt the approach detailed in paragraphs 37 and 38.

Conflict of interest

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

- 40.** 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 the delivery from administration and quality assurance monitoring. These steps will need to be identified and documented as part of the initial Approved Training Organisation approval.

Staff requirements

Trainers for assured categories

41. 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.
42. New trainers will be given a working towards status when they do not have a training qualification as defined in the standard or appendix 3. For clarity, the working towards period does not include occupational experience or occupational qualifications where they are required.
43. You must provide evidence of the trainer's registration on to a trainer qualification or recognised course at the point of approval, the trainer will have a period of 12 months to become qualified from the point of registration with CITB.

Trainers for recognised categories

44. You must be able to demonstrate, through your Recognised 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 Recognised organisation or body.
45. 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 Recognised Organisation or body are sufficient if needed by CITB.
46. Where the trainer approval is for plant specific standards, refer to Appendix 6.

Trainers for CITB products

47. You must meet the requirements set out in the relevant scheme rules for Site Safety Plus.

Quality monitoring staff

Assured

48. You are responsible for appointing appropriately experienced and competent staff to conduct 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.
49. The Approved Training Organisation must have a quality management system that is supported by senior management and a quality policy. It must detail how the quality of delivery and supporting processes, (including administration, course feedback, accuracy, and quality of delivery) are reviewed. This will include the accuracy of the Construction Training Directory and Construction Training Register uploads. You will have monitoring from time to time by CITB for the accuracy of the information uploaded to the Construction Training Directory and Construction Training Register. There must also be a management review conducted as defined by the quality management system. You will need to have documented operating procedures to support this function and make available to CITB upon request.

Recognised

50. For recognised products, the Recognised Organisation or body will check these requirements. Access to external quality reports will be sufficient to demonstrate ongoing performance. This will include the accuracy of the Construction Training Directory and Construction Training Register uploads. You will have monitoring from time to time by CITB for the accuracy of the information uploaded to the Construction Training Directory and Construction Training Register. You will need to have documented operating procedures to support this function and make available to CITB upon request.
51. For plant operative standards, see Appendix 6 for further information and quality assurance requirements.
52. CITB may from time to time conduct audits of the training delivery to gain an assurance the delivery is consistent with the standards expected.

Delivery resources

53. You must have adequate resources for the delivery of training, and they must be fit for purpose, considering the environment being used for delivery. Any requirements listed in the short duration standard (Assured product), or scheme rules (CITB product) are mandatory.
54. For plant specific standards, you must meet the requirements set out in appendix 6 and any specific requirement detailed in the individual plant training standard.

Data requirements for delivered training

55. 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 reviews and be used to audit the data entries on the Construction Training Directory and the Construction Training Register.
56. The following information must be made available to CITB upon request, listing all delegates who have completed training, and/or assessment.

Delegate details

- Confirmation of identification
- Delegate Name, date of birth, home address
- Employer's name, address, and contact details
- Employee's Levy number (as applicable)
- Trainer's (or trainers') name(s)
- Quality assurance person's name
- Appendix 5 Fair Processing Notice
- Unique Identifier (National Insurance number, phoenix ID, Unique Learner Number).

Individual training records

- Name of training course delivered, including
- Date
- Location
- Trainer or Assessor
- Delegate and employer feedback (as applicable).
- Course duration

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

57. You must use this exact wording (*Fair Processing Notice Appendix 5*), when inducting delegates on to course(s), relating to the use of their personal data for the Construction Training Register. This information includes how the delegate can apply to have their data un-published from the register. The Fair Processing notice also explains the benefits to delegates of having their data included on the Construction Training Register.
58. You will be required to have documented procedures in place that will facilitate the audit of paragraph 57. Failure to keep accurate records could result in suspension and/or termination off the Approved Training Organisation.
59. The Construction Training Register will require you to confirm that you have met the requirement detailed in paragraph 57.

Administrative requirements

All product categories

60. As an Approved Training Organisation, you will be required to update the Construction Training Register. This must be completed accurately and within ten working days and will be measured as part of the quality assurance arrangements. Access to the register can be found at <https://myportal.citb.co.uk/register-online/>. 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 (Site Safety Plus) the upload will be made from existing systems ('Awards Online') and therefore there is no requirement to duplicate the upload.*
61. It is important to remember that all achievements for training standards must be uploaded to the Construction Training register, and not just achievements where grant is being claimed.
62. Access to the Construction Training Register and the Construction Training Directory is administered by a username 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 username and password, including confidentiality. Passwords must not be shared between staff, and inappropriate use will constitute maladministration and/or fraud.

Recognised

63. For recognised products, achievement data must only be submitted to the Construction Training Register once certification has been confirmed and received from the Recognised 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

64. You must conduct appropriate checks to confirm the identity of delegates undertaking training, and assessment. ATOs must capture evidence of the photographic identification and must include as a minimum
 - ID Description
 - Last four numbers of the identification or photocopy of identification should there be no identification numbers.

- 65.** 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.
- 66.** If the delegate does not have any identification during the course, they will be allowed to continue the course, but must present the identification prior to any upload of achievement to the Construction Training Register and/or grant claim.

Use of language in training, testing, and assessment

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

Quality management systems

Assured products

68. 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. Quality monitoring staff must be familiar with either BS/EN/ISO9001 and/or management of a quality management system. The requirements for quality assurance are as follows.
- The quality management system must have demonstrable support from senior management of the centre.
 - There must be a quality statement/policy that links to training delivery and is reviewed by senior management annually.
 - There must be evidence of a management review annually, and it must include all elements of the training provision.
 - There must be an audit schedule and audits conducted of the training centres procedures at least annually. It must provide 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 delegate 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, because of CITB's auditing.
 - Checking that any formal assessment requirements detailed in the standard are being followed.

CITB products

69. All CITB products have specific scheme requirements and guidance. These can be found on the CITB website at www.citb.co.uk. Any internal quality arrangements required to be followed can be found within the scheme rules for the specific product.
70. For recognised training and qualifications, Recognised Organisations will monitor processes relating to third party approval. This includes internal quality assurance. Refer to the relevant guidance supplied by the applicable Recognised Organisation or body for specific guidance. CITB expects Approved Training Organisations to demonstrate best practice and compliance with the stated Recognised Organisation requirements.

CITB monitoring

71. 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.
- Delegate and employer contact (phone or email) to gain independent feedback.
- Quality assurance visits.
- Centre self-assessments.

Assured

72. Due diligence checks will be made by CITB at the Approved Training Organisation application stage, and periodically throughout the relationship with guidance given where/if additional information is required.

73. 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 member of the CITB quality assurance team at least once per year.

Desk-based request and sample

74. 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.

75. 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 act, the feedback will be in line with Appendix 1 and 2. This will help you to rectify any non-conformances 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.

76. 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.

77. CITB may investigate any anomalies and/or conduct a site visit to gather information and view additional records because 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 audits

78. Quality assurance audits will form part of the CITB quality assurance arrangements. These will be conducted to review training records (including completed provision of all 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. An audit will be conducted by a member of the CITB quality assurance team.

79. A member of the quality assurance team will contact you not fewer than 7 working days before the proposed audit date. This will be to confirm the arrangements for the audit.

80. 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 conducted.
81. You will receive a formal notification of the outcome of the audit no more than 48 hours after the visit. This will be sufficiently detailed to rectify any concerns identified. CITB may conduct further visits to determine the completion of any identified action plan.
82. 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 55 and 56) 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.
83. 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.
84. 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.

Recognised

85. CITB will rely on the Recognised Organisation or bodies 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.
86. 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.
87. 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.
88. CITB may from time to time conduct audits of the training delivery to gain an assurance the delivery is consistent with the standards expected.

Malpractice, maladministration, and counter fraud

89. 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.
90. 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.
91. 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.
92. There is a requirement for Approved Training Organisations to report all cases of alleged malpractice, maladministration, or fraud to CITB by emailing 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.
93. You must have a documented and communicate to your staff a whistleblowing policy to enable them to report instances of, but not limited to, malpractice, maladministration and/or fraud.
94. Upon receipt of any fraud or bribery allegations, CITB will suspend the Approved Training Organisation's approval. The suspension is a neutral act and put in place to protect any future investigation.
95. All allegations of fraud will be given to the CITB Fraud department to investigate. This could include (but not limited to) centre visits, staff interviews, delegate interviews and investigation off all relevant paperwork.
96. In the first instance a report of the investigation will be sent to the CITB fraud manager and CITB approval and compliance manager. A decision will then be made within ten working days, where practicable, as to the outcome and any relevant subsequent action.
97. In the event of any withdrawal (voluntary or not) you must make all reasonable efforts to ensure delegates 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 delegates 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.
98. If you fail to co-operate with CITB at any stage of the investigation process it will result in suspension of the Approved Training Organisation status.
99. 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.

Withdrawal of Approval

100. 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.
- all achievements for delegates who have already completed, or will complete, training during the three-month notice period are uploaded to the Construction Training Register.
- If you have delegates 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 must be made to store training records, as detailed in the data requirements section of the 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

101. CITB expects its staff to conduct themselves with integrity, impartiality, and honesty. Dealings with customers are expected to be completed empathetically, efficiently, promptly (within stated timescales, where applicable) and without bias.
102. 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

103. 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.
104. 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

105. If any corrective action is applied, due to the non-compliance with the requirements set out in the contract (including this document and any specific scheme rules) or because of a 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:

Approval and Compliance Manager
CITB
Sand Martin House
Bittern Way
Peterborough
Cambridgeshire
PE2 8TY

106. 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 approval and compliance 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

Quality Management Systems

Reference	Approval criteria	Evidence	Products	Action Level
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 (delegates, delegates, staff and CITB)</p>	<p>Policies can include, but are not limited to</p> <ul style="list-style-type: none"> • Health and safety management • Equal opportunities, disability, diversity and inclusion • Counter fraud and bribery • Quality Management System (ISO 9001 or centre's own equivalent) and quality policy • Invigilation policy • Appeals and complaints • Conflict of interest • Whistleblowing • Malpractice and maladministration • Data protection requirements • Modern Slavery (where required) 	All categories	CAR
1.1	<p>Insurances are in place that protect all stakeholders (delegates, staff, and customers)</p>	<ul style="list-style-type: none"> • Evidence of Employer Liability cover to the minimum value as required by law • Evidence of Public Liability cover to the value of minimum £5 million • Evidence of professional indemnity cover to the value of minimum £2 million 	All categories	IAR
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"> • Records of due diligence • Staff qualifications and CVs • Staff certificates 	Assured and CITB products	CAR
1.3	<p>The Approved Training Organisation keeps CITB up to date with any changes that could affect delivery or status of the provider.</p> <p>Guidance is sought if any uncertainty exists</p>	<ul style="list-style-type: none"> • Records of communication with CITB of any update 	All categories	Up to IAR

Appendix 1

Approved Training Organisation approval criteria

	Approval criteria	Evidence	Products	Action Level
1.4	The Approved Training Organisation submits all required details accurately to the Construction Training Register within the stated timescales	<ul style="list-style-type: none"> Records of timely, accurate submissions 	All categories	CAR to IAR
1.5	The Approved Training Organisation maintains auditable, accurate records and provides access to CITB on request	<ul style="list-style-type: none"> Training delivery staff Delegate and delegate information Quality assurance 	All categories	CAR to IAR
1.6	The Approved Training Organisation has clearly written operating procedures, covering all aspects of the training delivery and related administration activities	<ul style="list-style-type: none"> Operating procedures relating to Approved Training Organisation delivery Approved Training Organisation organisational chart Conflict of interest declarations and mitigation Auditing and management review 	<p>Assured and CITB products <i>refer to specific scheme rules for detail</i></p> <p>Recognised <i>refer to specific guidance for this category</i></p>	CAR
1.7	The ATO uses CITB's Fair Processing Notice Statement as per appendix 5 to inform delegates how their personal data will be used.	<ul style="list-style-type: none"> Delegate confirmations of agreement 	All Products	CAR
1.8	Actions arising from CITB quality interventions are shared with relevant staff and completed within agreed timescales	<ul style="list-style-type: none"> Evidence of closure of actions Meeting minutes Changes to processes Improved records 	All Products	CAR

Appendix 1

Approved Training Organisation approval criteria

Resources

Reference	Approval criteria	Evidence	Products	Action Level
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"> • standard requirements • delegate numbers • agreed course requirements or scheme rules 	Assured and CITB products <i>refer to specific scheme rules for detail</i> Recognised <i>refer to specific guidance for this category</i>	IAR
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"> • Role descriptions • Approved Training Organisation organisational chart • Meeting minutes and/or records of internal communication • CPD records 	Assured and CITB product <i>Refer to specific scheme rules for detail</i> Recognised <i>Refer to specific guidance for this category</i>	CAR
2.2	Standards and self- assessment documentation is always maintained and up to date, fully completed and available for CITB audit on request	<ul style="list-style-type: none"> • Standards and self- assessment documents 	Assured Recognised	IAR
2.3	Required physical resources are listed by the standard or scheme rules are in place, meeting the required specification	<ul style="list-style-type: none"> • Standard self- assessment documents 	Assured	CAR to IAR
2.4	Health, safety, and welfare systems are in place to protect the Approved Training Organisation staff, delegates, and others. Systems are reviewed and maintained in line with the relevant health and safety laws.	<ul style="list-style-type: none"> • Risk assessments • Method statements • Health and safety policy • Health and safety audits and records of updates • Maintenance records 	Assured and CITB products	Based on risk CAR to IAR

Appendix 1

Approved Training Organisation approval criteria

Delegates

Reference	Approval criteria	Evidence	Products	Action Level
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"> Course information submitted to the Construction Training Directory accurately describes the training being offered 	All products	CAR
3.1	Delegates undergo initial assessment to accurately identify course sustainability and where any reasonable adjustments or special considerations are required. Any identified needs are recorded.	<ul style="list-style-type: none"> Delegate initial assessment results records of any adjustments 	Assured and CITB products	CAR
3.2	Delegate identification checks are undertaken and recorded in line with the requirements listed in paragraphs 64 - 66 of this document.	<ul style="list-style-type: none"> Delegate ID checks 	All products	CAR
3.3	Delegates undertake a suitable and sufficient induction for the training being provided.	<ul style="list-style-type: none"> Records of delegate inductions 	Assured and CITB products	CAR
3.4	Training, assessment, and delivery are undertaken in English or Welsh. If delivery occurs in another language, where this is permitted it must be conducted in line with the specific scheme guidance	<ul style="list-style-type: none"> Initial assessment records Induction records Internal quality assurance monitoring Records of delivery Record of an authority to deliver. 	Assured and CITB products	IAR

Appendix 1

Approved Training Organisation approval criteria

Delegates *continued*

Reference	Approval criteria	Evidence	Products	Action Level
3.5	<p>Delegates and employers are made aware of the Approved Training Organisation's appeals and complaints procedure.</p> <p>Access is given without the need for request</p>	<ul style="list-style-type: none">• Appeals and complaints procedures• Delegate induction records• Feedback from employers and delegates• Records of appeals and complaints	Assured and CITB products	CAR

Appendix 1

Approved Training Organisation approval criteria

Internal quality assurance

Reference	Approval criteria	Evidence	Products	Compliance reference
4.0	Quality Management Systems clearly documented and cover all aspects of the Approved Training Organisation's processes.	Quality Management System includes. Quality policy and plan of monitoring activity (audit schedule), Quality monitoring activity details, including who, what and when (for example, audits).	Assured and CITB products	CAR
4.1	The Approved Training Organisation has staff in place with sufficient authority to conduct internal quality assurance activities	<ul style="list-style-type: none"> • Senior management confirmation • Roles and responsibilities 	All products	IAR
4.2	Records of quality monitoring are maintained in line with agreed quality management system requirements allowing for audit, and available for review, and must include an audit schedule.	<ul style="list-style-type: none"> • Feedback Forms • Quality monitoring strategies and forms. • CPD Log 	All products.	CAR
4.3	Quality monitoring activity ensures that the delivery team consistently follows CITB product scheme rules and industry standard requirements Records of training documents demonstrate full completion of published standards or course requirements. Records of training meet CITB data requirements (paragraph 55 to 59)	<ul style="list-style-type: none"> • Evidence of quality system review and updates • Evidence of the timely completion of corrective actions 	Assured and CITB products	CAR

Appendix 1

Approved Training Organisation approval criteria

4.4	Quality monitoring systems and processes are regularly reviewed and updated, as necessary. Corrective actions from CITB quality interventions are actioned and used to update internal processes to avoid repetition or reoccurrence	<ul style="list-style-type: none">• Evidence of quality system review and updates• Evidence of closure of agreed CITB quality interventions	All products	CAR
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Appendix 1

Approved Training Organisation approval criteria

Records

Reference	Approval criteria	Evidence	Products	Action Level
5.0	Records	<ul style="list-style-type: none">• Evidence of data collection, review, and relevant changes (for example, date review, meeting minutes and procedure changes)	Assured and CITB products	CAR
5.1	<p>The Approved Training Organisation collects and records 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">• Evidence of employer and delegate delivery• Records of changes made• Evidence of action taken because of feedback	Assured and CITB products	CAR
5.2	<p>The Approved Training Organisation will have processes to ensure delegates are made aware of the requirement to provide photographic identification on the first day of a course.</p>	<p>Evidence of.</p> <ul style="list-style-type: none">• Processes and procedures• Pre-course information and joining instructions	All products	CAR

Appendix 2

Corrective actions

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

Corrective Action (CAR) – Action Plan

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 to conform with the approval criteria.

Immediate Action Required (IAR) - Suspension of Approved Training Organisation

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 conform 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.

Termination

Where a persistent or repeated failures in an Approved Training Organisation's quality management system or operation is identified, CITB will rely on the standard terms and terminate the agreement between CITB and the Approved Training Organisation. This will also apply for cases where malpractice, maladministration and/or fraud is identified.

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
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 (Assessment Only)	
TAQA L3 Certificate in Assessing Vocational Achievement (Assessment Only)	
Level 3 Award in Education and Training	

Appendix 4

Example reasons to update CITB

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

- A material changes 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 Recognised organisation has rescinded qualifications and/or certificates.
- A qualification or certificate has been returned because 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 <https://www.citb.co.uk/utility-links/privacy-policy-cookies/>*
- *asking the Approved Training Organisation for information about how they manage your personal data.*

Appendix 6

Plant Training Specific Requirements

Plant Specific Training

Context

Plant operations represents a safety critical function on any construction site. As a result, CITB has developed in collaboration with industry the standards that will help to provide standardised, consistent, and reliable training.

These standards have been designated as 'Recognised', this means that any training organisation wishing to deliver training must be approved by a 'Recognised Organisation' that has also been approved by CITB for the purpose of plant training delivery.

Each of the plant training standards contain specific information that includes the 'Learning Outcomes' as well as any specific assessment requirements that is discrete to each category. This document contains the generic requirements for 'Recognised' and 'Approved Training Organisations'.

Recognised Organisations Approval

1. All Recognised Organisations for plant must meet the Construction Leadership Council (CLC) requirements for the one logo scheme. Any schemes that do not specifically meet the CLC requirements will not be approved to deliver the plant training standards for the purpose of training register achievements and grant payments.
2. To be approved as a 'Recognised Organisation' you must complete the application pack telling us how you will manage the delivery and quality assurance of your network of training organisations and agree to CITB terms and conditions relating to being a 'recognised organisation'. The quality assurance team will assist with this process.
Quality.assurance@citb.co.uk
3. You must reference each of your training products to the individual training standard 'self-assessment' and submit this for approval to CITB.
4. CITB will then review and either approve your submission or ask for further details. In some circumstances CITB may decline approval, in any event full feedback will be given.

Training Organisation Approval

5. To offer plant training you will need to hold an approval as an Approved Training Organisation with CITB, see paragraph 1-12 in the main document, Requirements for Approved Training Organisations.
6. As part of the approval process, you will need to demonstrate that you hold an appropriate approval with a 'Recognised Organisation' for each specific plant category that you wish to offer. This could include, but not be limited to.
 - Approval Certificate
 - Previous audit reports
 - Letter of approval from 'Recognised Organisations'.
7. CITB will work with the 'Recognised Organisation' to validate your approval with their organisation for the specific plant training category that you wish to offer.

8. Nothing contained within this document removes the requirements of the 'Recognised Organisation' that you already work with, however, you will be required to demonstrate that you can meet your contractual obligations of being an Approved Training Organisation with CITB. This document will help you to meet your obligations.
9. CITB will work with each 'Recognised Organisation' to ensure consistent, standardised and reliable delivery of the plant training standard, however, from time-to-time CITB will audit the delivery in relation to the application of grant funding, including but not limited to.
 - Eligibility
 - Initial Assessment
 - Length of training duration
 - Trainers' qualifications and certifications
 - Observation of training
 - Venue and facilities review.

Additional Category Approval

10. You can request further approvals at any time once you have received your Approved Training Organisation Status. This will require an application to add additional standards/ categories of Plant.
11. The process is simple and requires evidence of your category approval with a 'Recognised Organisation' this can be demonstrated by submitting the following, but not limited to.
 - Approval Certificate of specific plant
 - Letter of Approval
 - Previous Audit Report.

Delivery Methodology

12. The location where training can be delivered will be expressly detailed within each training standard and will be discrete to each of the category of plant. This has been decided with industry through national working groups.
13. Delivery may be on and/or off-site environment. Where training and assessment takes place within a working construction site environment, training must be segregated from the productive work site and within a prescribed training area that has been risk assessed and with appropriate control measures in place as required by legislation and regulations.
14. All materials and equipment must be of a suitable quality and quantity for delegates to achieve the learning outcomes delivery and assessment criteria, and must comply with relevant legislation, regulations and industry agreed requirements.
15. All equipment required for the training must be set aside specifically for the training session and be available for the entire training duration. For the avoidance of doubt, it is not acceptable for the equipment to be shared with the working construction site during the duration of the training.
16. Where the training is delivered away from the centre or construction site environment, you must provide welfare facilities in line with the CDM regulations 2015 and/or Health and Safety at Work Regulations, specifically, remote workplaces and temporary work sites. This must include as a minimum, toilet facilities with hot, cold, and drinking water and rest area, first aid and fire extinguishers as appropriate.

17. The class size and delegate/trainer ratio must allow training to be delivered in a safe manner and enable delegates to achieve the learning outcomes and must not exceed the stipulated ratios as designated in each specific standard.
18. The following delivery methods must be used in the delivery of the plant training standards, refer to the individual plant training standard for further details:
 - Face to face learning environment (Classroom, workshop)
 - On and/or site environment (Practical training and assessment)
Simulator (practical training).

note – if a simulator is used, it can only comprise of a total of 20% of overall practical training and not used in any assessment.

19. Training will be defined as 'Experienced' or 'Novice', this will have a bearing on the amount of time required to be taken for each category of plant. In any event all learning outcomes must be covered as part of the training.
20. You must assess delegates level of experience (Novice or Experienced) and provide training based on this assessment. This assessment must be retained for the purpose of auditing both training and any grant payments.
21. Experienced delegates **must** cover all learning outcomes in full for the standard, the trainer must decide and be able to demonstrate and document their decisions for reducing the number of hours based on individuals' knowledge and skills.
22. Novice delegates **must** cover all learning outcomes and all hours pertaining to the standard. If an approved training organisation and trainer cannot demonstrate the requirements have been met in full, the achievement and any grant payment will be rescinded, and the approved training organisation could be suspended.
23. The stipulated learning hours are clearly defined according to number of delegates and also state a maximum number of delegates to trainers and machines – the ratio.
24. You must not deliver less than the hours prescribed within each individual plant training standard or less than the prescribed 'seat time' for each delegate. Refer to paragraph 21 and 22 in this appendix for details how to apply 'novice' and 'experienced' hours.
25. Irrespective of the number of delegates, effective learning must be maintained for all delegates. 'Practical engagement' or 'seat' time is stipulated within each standard where relevant and indicates the minimum number of hours throughout the course that each delegate would have operated the machine or was in a hands-on situation in a relevant role e.g., slinger/signaller.
26. **This time does not include end of course assessment time.**
27. Effective learning is either where each delegate is carrying out activities with the machine, or where carrying out a supporting role (such as marshalling, signalling, providing a running commentary whilst observing activities, delegated assignment etc.) whilst another delegate is using the machine. **N.B. The delegate must not be sitting around waiting for their turn.**
28. Learning hours do not include
 - Session setting up activities
 - Registration
 - Experienced Worker Profiling
 - Refreshment and meal breaks

- Putting on Personal Protective Equipment
- Journeys made between sessions – e.g. to/from the training area

Assessment

29. For the successful completion of training, delegates must complete an end of course practical assessment and knowledge test that has a clear pass or fail criteria. The marking criteria must effectively measure every aspect of each learning outcome and additional guidance for training and assessment.
30. The standard stipulates what must be covered within the assessment of the training programme. All delegates must undertake the full assessment requirements on an individual basis. The assessment programme must be devised prior to the course by the 'Recognised Organisation' and must be organised and delivered in a test environment, there must be clear separation between the learning and assessment.
31. Where the trainer conducts the end of course assessment, the centre must have sufficient quality assurance arrangements in place that provides an assurance of a robust outcome and manages conflicts of interest.
32. Where this occurs the trainer must be listed in the conflict-of-interest log along with the ATO actions that mitigate the conflict documented.
33. The assessment criteria and grading must be designed so that delegates performance is both unaided and impartially scored, based purely on observed performance within the assessment activity.
34. Delegates must be fully briefed on the requirements of the assessment and made fully aware of the achievement and non-achievement criteria.
35. Unless there are circumstances unique to a specific category of plant, the delegate must undertake the assessment unaided with no external assistance or guidance.
36. Where direct support is needed on an assessment e.g., slinger/signaller requirement for crane-based categories or loading dump trucks etc. other course delegates shall not undertake these supporting roles and which should be undertaken by competent persons.
37. Knowledge requirements may be through pre-devised test questions or verbally delivered during the assessment. Knowledge requirements must be specific to that delegate and captured in a 1-2-1 assessment.
38. Marking of knowledge evidence must have a pass or fail boundary defined by the individual plant training standard.
39. Full and comprehensive records of both practical and knowledge assessment grading must be held by the centre.
40. **Pre-use checks.** Part of the assessment criteria for all mobile and powered plant with an internal combustion engine is the undertaking of pre-use checks to ensure the equipment is functional and safe to use. Where back-to-back assessments are taking place, the engine will be hot. This means certain checks itemised in the machine's operator's manual cannot be undertaken due to heat and/or pressure issues and personal safety could be compromised. Where this is the case, assessors may use questions where any physical activity cannot take place. However, all checks which can be physically made must be undertaken and this arrangement does not mean that all physical and visual checks can be assessed using questions only.
41. **Extracting information.** This part of the assessment criteria requires the trainee to extract information from the machine's operator's manual. This is to ensure delegates can navigate their way through the

normal information source for operators, which can be complex in layout and differ through various manufacturers. Delegates should be asked to identify key information from each of the following topical areas: pre-use checks; maintenance; operational; safety information.

Training Staff

42. Industry has defined the requirements for trainers as follows:

Essential:

- hold either.
 - a) a current card issued by one of the CSCS partner plant schemes at instructor/trainer/assessor level bearing the category of *specific item of plant* or
 - b) a current card issued by one of the CSCS partner plant schemes at operator level bearing the category of *specific item of plant*
- Level 3 Award in Education and Training or equivalent qualification listed in Appendix 3 of the Requirements for Approved Training Organisations.
- Health and safety qualification at or equivalent to construction site management level such as:
 - *Site Safety Plus Site Management Safety Training Scheme (SMSTS)*
 - *Site Safety Plus Site Supervision Safety Training Scheme (SSSTS)*
 - *IOSH Managing Safely in Construction*
 - *IOSH Safety, Health & Environment for Construction Site Managers*
 - *5-day CISRS Managers course, 5-day CCDO Demolition Manager course and end test, 5-day NPORS Construction Site Safety Manager*
 - *NPORS Construction Site Safety Supervisor(CSSS)*
 - *NEBOSH Health and Safety Management for Construction (UK)*

Desirable:

- S/NVQ Level 2 Plant Operations in the specific category being trained and/or tested
- Level 3 Certificate in Assessing Vocational Achievement.

43. Failure to meet the essential requirements will result in the approval being declined.

44. Recognised organisations may require more than these minimum requirements, however the requirements as required in full by CITB and the specific scheme being worked with must be met.

- **Note:** *in addition to the holding of a relevant scheme card bearing the category of plant as listed above, ATOs will need to undertake a robust verification process to ensure that the trainer's operational experience on the specific category of plant is sufficient, verifiable, up-to-date and relevant to ensure operational competence and have sound knowledge and understanding of that category.*
- *The stated operational experience is accumulative, and not over the stated duration to take into account periods of other work. Operational experience is defined as having used the machine to undertake a range of typical productive activities within a construction or related environment.*

The trainer's operational experience, skills and knowledge should be verified by using at least three of the following verification processes, utilising the relevant training standard content as the benchmark:

- *curriculum vitae and employer endorsement or references.*
- *possession of a relevant NVQ/SVQ, or vocationally related qualification.*
- *technical-based interview.*
- *practical-performance check on the item of plant.*

The verification process must be recorded and available for audit.

45. in addition to the required qualifications, the trainer must be able to demonstrate 'operational' experience of operating the specific plant equipment being trained. Specific operational time can be found in each standard.
46. The requirements detailed above are the minimum requirements and individual 'Recognised Organisations' may require additional qualifications and/or experience.

Assessment/Testing Staff

47. All course examinations/tests must be delivered by the trainer or an assessor who manages the examination/testing process and to prevent cheating and/or collusion between the delegates.
48. The course trainer and/or another person who is aware of the examination process. This person cannot be a delegate of the course or any individual suspended or terminated from any CITB provision.
49. You must manage any conflict of interest and document any mitigation where the trainer and tester are the same individual.
50. You must ensure that delegates are aware of their responsibilities, as follows:
 - They must not communicate with anyone other than the trainer or assessor running the test during the examination/test
 - The trainer/assessor must position themselves in an unobtrusive and safe area where they can see the machine in operation.
 - To communicate with the trainer/assessor, the delegate must first raise their hand and make the machine safe prior to the invigilator approaching the testing area.
 - There must not be any eating, drinking or smoking during the examination.
51. If a delegate leaves the examination/test area prior to its conclusion, they will not be permitted to re-enter the examination/test.

Quality Assurance

52. All Approved Training Organisations must carry out internal quality assurance. The individual conducting the quality assurance function must be independent of the trainer or tester to ensure impartiality. It is not acceptable to rely upon either CITB or the 'Recognised Organisation' to provide you an assurance. Moreover, you should be providing an assurance through your own arrangements of the robust delivery of training at your organisation.
53. CITB recommends using the BS/EN/ISO 9001 principles for managing your arrangements and can provide guidance on how to set up your system.
54. The Requirements for Approved Centres is set up to support this approach.
55. Your Recognised Organisation will review your quality assurance arrangements and report on your quality management systems including, specifically.
 - **Intent**
This includes how you intend to implement and manage your quality management system and how the management support the quality system.
 - **Implementation**
Measures how the quality management system has been communicated throughout the organisation.
 - **Effectiveness**
Looks at the quality management system and asks simply 'is it working effectively'.

**For the purpose of the Plant Training Standards Launch, CITB will be working with both 'Approved Training Organisations' and 'Recognised Organisations' in a working towards phase. CITB will focussing on the 'Intent' element of the Quality Management System in this period.*

Working Towards

We recognise that setting up this new approach to plant training will require additional work for both Recognised Organisations and Approved Training Organisations. The table below will assist you to see what has to be in place prior to approval and the categories that can be 'worked towards'.

Area of Approval	Must be in Place for Approval	"Working towards"	Comments
Trainers	Experience Current card for specific plant being trained. Management Qualifications	Training qualification	Trainer Qualification can be achieved after approval. Trainer must be able to demonstrate registration on to appropriate qualification at point of registration.
Approved Training Organisation Approval	Quality Management System, specifically. Intent	Implementation Effectiveness	You must have a quality management system that scopes the activity of the centre. To gain approval you must be able to demonstrate the managements intent to implement an effective quality management system.
Area of Approval	Must be in Place for Approval	"Working towards"	Comments
Quality Assurance Arrangements	Staff appointed with QA responsibilities Policies and procedures including. Induction and Initial Assessment Training Delivery Quality Assurance Special Considerations and reasonable adjustments Invigilation Malpractice/Maladministration	Sampling Plan Sampling and QA feedback Observation of training	Plan and retrospective quality assurance to be in place within 3 months of approval.
Products mapped to standards	All full standards must be mapped and submitted prior to approval and delivery		
Delivery to standard	All ATO's must deliver the recognised organisations product that has been developed to the CITB Standards		
Profiling Candidates	All candidates must be profiled to ensure the correct course and route have been identified.		
Uploading Achievements	To upload manually from launch	API (NOCN only)	

Appendix 7

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 delegate.
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 delegate'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
Delegates 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

Appendix 7

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