

External Moderators' Guidance

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Statement

It is the responsibility of external moderators involved with the quality assurance of CIOB Awarding Organisation qualifications to complete any required training and familiarise themselves with our guidance and procedure documentation and undertake continuing professional development (CPD).

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

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

Authorised by: CIOB Awarding Organisation Compliance Panel

Owned by: CIOB Awarding Organisation

1. This Guidance

1.1. Introduction to CIOB centre delivery guidance

This guide is designed for external moderators who work with CIOB to quality assure their qualifications. It contains comprehensive information about the requirements and processes for moderation. This documentation is available online or by making a request directly to the Awarding Organisation at awardingorg@ciob.org.uk.

1.2. Other CIOB guidance documents and forms

External moderators will also need to refer to the following guidance documents when performing their moderation duties. These, along with all forms required by centres and policy documents can be found on our learning platform CIOB Moodle.

- CIOB Qualification Syllabus (1 per qualification). A booklet containing detailed information about the qualification, including full unit specifications, reading lists and information about exemptions and assessment, as well as marking and grading descriptors.
- CIOB Centre Delivery Guidance. A document containing detailed information about the requirements and processes for qualification delivery that centres must follow.
- CIOB Centre Approval Guidance. A document containing the requirements for centre approval and the processes they will need to follow. This includes the requirements for expanding approval to offer additional CIOB qualifications.

2. CIOB's Role in Moderation

2.1. CIOB qualifications

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

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

2.2. The purpose of moderation

The moderation process forms part of the CIOB quality assurance procedures under its Centre Assessment Standards Scrutiny Strategy (CASS) and supports the maintenance of its qualification standards. Through a sampling process, moderation assures the consistency of marking and assessment. The moderation process also ensures that the course administration, delivery and quality assurance systems are adequate in all approved centres. Moderation also ensures that centres are acting in accordance with regulatory and CIOB Centre Agreement conditions. The CIOB is committed to ensuring that the standard of its qualifications is maintained at a national level.

Moderation ensures that the centre has been compliant with the centre requirements and, will therefore, form part of a continuous process for centre approval. If a centre does not run for a period of three years, it will then be invited to apply for approval. The CIOB Submissions Panel will be appointed to deal with all re-submissions which are then submitted to the AOCF for endorsement.

2.3. External moderators

External moderators are appointed to undertake inspections at each CIOB Approved Centre. External moderators will only moderate centres with current registered learners or certification approval. They will also visit recently approved and current centres requiring support. Certification will not be issued until confirmed by the external moderator.

CIOB external moderators are subject experts and are responsible for conducting visits to CIOB Approved Centres to monitor and evaluate the quality and consistency of assessment practices and procedures. Their duty is to approve certification and to inform the CIOB of the performance of its centres in maintaining a consistent application of standards, and to provide assurance that they continue to operate in accordance with CIOB Approved Centre requirements. External moderators are required to notify the responsible officer promptly, where there are concerns about the ability of the centre to meet the requirements.

2.4. Duties of the CIOB in moderation

The awarding organisation retains a signed contract and a register of its external moderators with their corresponding centres. Following annual inspections, reports are scrutinised and systematically analysed to ensure accuracy and consistency of approach. To monitor the efficacy of the process and ensure complete impartiality throughout, the CIOB undertakes the following:

- Performance review systems – through annual training.
- Supervised external moderator visits.
- Monitoring of external moderator reports and external moderators.
- Feedback from approved centres on the process.
- Monitoring of moderation sanctions.
- Internal compliance team audits, to ensure efficient systems.

Where there are clear concerns in relation to the performance or judgement of an external moderator, the CIOB will take action to ensure the integrity of the moderation process is maintained.

The CIOB aims to ensure that external moderators are continuously updated in relation to the requirements of the role. This will necessarily be affected by changes in internal processes and updates following regulatory requirements. The CIOB will also ensure that external moderators maintain an acceptable standard in relation to the following:

- Continuing professional development.
- Personal conduct and probity, including declaration of conflicts of interest (no direct or indirect personal or financial interest).
- Dealing with appeals from a centre against a moderation decision.

3. Requirements for Moderation

3.1. Changes to provision

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

- Change of name or address of centre.
- Change of contact, and their contact details for the centre.
- Change in staffing resources, this includes directors and senior management.
- Change in physical resources.

- Change in delivery site such as franchise to satellite sites or subcontracting providers without prior written permission.
- Change of quality assurance nominee.

3.2. Reasonable adjustments and special considerations

For CIOB Awarding Organisation qualifications, the centre must consult and inform the external moderator if reasonable adjustments have been requested. Where reasonable adjustments are put in place for assessments, the Approved Centre should check whether permission needs to be obtained from the CIOB or the external moderator. A centre should keep records for audit purposes where they are permitted to agree reasonable adjustments, where they apply to CIOB for permission, or where they agree adjustments to assessment with the external moderator. These records should include any supporting evidence. Such records should be retained by the approved centre for a period of five years from the learners' completion of the course.

3.3. Quality of assessment

Scrutiny of assessment is carried out by the external moderator, who will review a sample of assessed, internally and non-internally verified assignments and exams. This can be carried out via CIOB Moodle.

3.4. Review of centre processes

The review of the centre management processes, and quality assurance is primarily carried out by the external moderator during a moderation visit. The CIOB will act where centres fail to provide access for the purposes of visits undertaken by external moderators and the qualification regulators. This includes access to premises, records, information, learners, and staff.

3.5. Support, training and development for approved centres

An important part of the external moderators' role is to provide advice and support to centres. Time should be allowed to discuss any concerns with the centre and to answer queries. Support should be given to specific areas raised by the centre or highlighted from the visit. Centres may also contact the awarding organisation if they require training or clarification on any aspect of the qualifications policies and procedures. External moderators can assist in this area during a centre visit.

4. Moderation Inspections

4.1. Overview of the moderation process

Each external moderator is allocated their centres by the awarding organisation. Wherever possible, new centre delivery approval reviews will be carried out by the designated moderator. This ensures consistency of information from the start until the moderation activities commence. Recorded data is sent to every external moderator relating to each of their centres for current learner registrations and previous certifications. The external moderator then carries out the following actions at each stage of the process.

Stage 1 – Arrangements:

- Agree a visit date, time and visit plan and inform CIOB of the arrangements.
- Review external moderator selected marked assignments, a sample of which should be internally verified preferably via CIOB Moodle.
- Agree scope of systems visit, moderation and sampling activities not already carried out.
- Outline the requirements of the centre detailing the inspection documents required on the day.
- Provide advice and guidance as necessary.

Stage 2 – Preparation:

- Review previous report(s).
Ensure internal verification records for evaluation are available preferably via Moodle.
- Ensure information on the assessments for evaluation is available preferably via Moodle.

Stage 3 – Review, assessments:

- Review of learner assessments via CIOB Moodle.
- Additional visit if required. If the centre has been unable to provide learners assessments via Moodle, an additional visit may be required to carry out the sampling and this will usually incur a fee.

Stage 4 – Review, processes and systems:

- Review of centre agreement criteria.
- Review of centre systems and processes.
- Inspection and approval of internally set assignments or changes to CIOB assignments.
- Interview with learners and teachers.

Final Stage – Discussion, report and support:

- Discussions of findings and support to centre.
- Advise and set sanctions if required.
- Agree action plan.
- Complete report.
- Issue report to the centre.
- Monitor centre compliance.
- Provide on-going support to centre.

4.2. Frequency of inspections

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

4.3. Inspections for newly approved centres

For new centres, an initial visit will be made usually within two months of launching a course or after the first unit has been completed, which will allow the external moderator to review approval and agreement criteria and to confirm the centre is meeting this.

4.4. Duration of inspections

The process of moderation will normally be regarded as a full day of inspection of systems and processes. The sampling of assessments can take place remotely via the CIOB online learning portal Moodle or during the visit. Additional time may be required should this be the initial visit or an inspection to follow up sanctions.

4.5. Preparation for moderation inspections

The external moderator's main point of contact will be the course leader who is responsible for the day-to-day management and delivery of our qualifications within the centre. The external moderator must ensure that the centre is fully notified in advance of the planned activity to agree the scope of the visit, the moderation and any sampling activities that will take place. Documents are provided to external moderators and include the following information:

- Covering letter detailing visit requirement, date and time of inspection.
- CIOB external moderator centre information (including centre details, contacts and evidence criteria, with previous actions).
- Description of the inspection documents required at the time of visit.

Before inspection, each external moderator will be provided with a list of registered learners and previous certifications. This information is to be used by the external moderator to select the samples for inspection. The awarding organisation is required to ensure there are secure systems in place with regards to confirming the results of learners.

It is essential that the external moderator obtains details of the assessment and internal verification processes prior to the inspection, to ensure that these can be fully evaluated and discussed during the visit. This will maximise the effectiveness of the meetings and ensure time is efficiently spent.

As part of the visit, the external moderator will arrange to meet those involved with the delivery of the qualifications.

5. Guidance on Specific Areas of Moderation

These notes are issued for guidance only. Centres are externally verified to ensure they are acting in accordance with regulatory conditions for the delivery of qualifications. External moderators are expected to take other aspects into account, depending on the establishment under review.

5.1. Course content

You should address the following:

- Full details of course provider.
- Course syllabus – ensure it is current.
- Ensure that CIOB set assignments are being used or that changes to them, or centre set assignments have been signed off before they are used.
- Hand-outs current? (Check learners work).
- Interrelationship of course subjects and internal monitoring of its outcome. (Try to establish that learners are aware of cross relationship of units, rather than individual stand-alone context).
- Number of teaching staff for course. (Is it adequate and have CVs been reviewed).
- Hours in college.
- Hours of study.
- Arrangement of timetable.
- Setting of additional assignments – cross reference to schemes of work in delivery depth and breadth of knowledge.
- Exemplar material – request copies of completed assignments.
- Supplementary information supplied by lecturer.
- Relationships with assignments.
- Exemptions granted for qualifications mapping and approval must be completed.
- Centres not offering the award for three years will need to reapply for approval.

5.2. Teaching resources

You should aim to address and review the following:

- Rooms:
 - Quality and location.
 - Noise – inside/outside traffic noise.
 - Daylight – natural/artificial/combination.
 - Well ventilated.
 - Blackout facilities.
 - Pleasantly decorated.
 - Size of room suitable for number of learners.
 - Seating accommodation.
 - Type and style of seating arrangements.
 - Individual style desks/tables (to enable group work or discussion forum).
- Room resources:
 - Video facilities.
 - Overhead projections.
 - Fixed or mobile screens.
 - Chalk or wipe boards.
 - Computers and other IT facilities.
 - Separate computer suite.
 - Open access always.
 - Additional computer facilities.
- Laboratories (where applicable):
 - Concrete and aggregate testing facilities.
 - Concrete making facilities.
 - Curing facilities.
 - Supporting concrete testing instruments.
 - Basic soil testing equipment.
 - Quality control.
- Learning resources:
 - Building reference library.
 - Building products.
 - In-house collection.
 - Office equipment availability such as photocopiers.
- Library:
 - Construction section.
 - Cross-section of reference books.
 - Sufficient books in number for learners.
- Surveying equipment:
 - Ensure sufficient equipment for syllabus and number of learners.
 - Theodolite.
 - Supporting equipment, tapes and so on.
 - Levels.
- Learner support:
 - Course adviser.
 - Welfare facilities.
 - CIOB Liaison Officer.
 - Parking.
 - Reasonable adjustments and special considerations.

5.3. Staff

Look for the following details.

- Course management structure:
 - Person to whom all correspondence should be addressed.
 - Teaching staff – membership of CIOB or other professional body.
 - Staff changes since the last moderator's visit.
 - End of course evaluation by staff.
 - Availability of sufficient managerial and other staff within centre.

- CVs:
 - Previous industrial experience gained.
 - Professional qualifications – CIOB or other professional body member.
 - Full-time/part-time/speakers.
 - Where staff are new has CV's been reviewed.
 - Visiting Staff - Copies of CV's.
- Staff development:
 - CPD record.
 - Attitude of teaching staff members on further training.
 - Management policy on staff training.
- Centre workforce:
 - Staff are fully inducted and supported in the delivery of the course.
 - Staff involved in the assessment process have the appropriate expertise.
 - Teaching CVs have been examined and approved.
 - Performance management systems are in place.
 - Inductions and professional development are in place.
 - Staff understand the specifications of the policies and procedures.
 - Effective systems are in place to communicate AO policies.
 - Quality assurance and management are in place.

5.4. Course trends:

Look for information on the following.

- Increasing or decreasing number of learners.
- "Drop-outs" – attendance and reasons why they have left, follow up procedure.
- Learners continue to further CIOB routes.

5.5. Opportunity for progression:

- Other CIOB qualifications.
- Other courses/progression – HND, Foundation Degree, Degree courses.
- CIOB programmes such as the Chartered Membership Programme.

5.6. Industrial links:

- Employer's views on CIOB Construction qualifications (liaison group?).
- Training limits of teaching staff with employers.
- Marketing policy of centre.

5.7. Evaluation and feedback:

- **Employer's feedback.** Delivery staff will be asked for their views on the organisation of the qualifications' delivery, teaching materials, awarding organisation updates and the opportunities provided to enhance and support the qualifications' delivery.
 - Letters from employers.
 - Discussions with employers direct over presentation and content of course.
 - Trends of employers' staff training.
- **Course evaluation by learner.** Learners will be asked for their views on their learning experience, including the quality, quantity and effectiveness of the teaching methods, the support provided, the clarity of the given tasks and the outcomes required. They will also be asked for their views on their understanding of grading criteria, quality and timeliness of assessor marking and feedback (including internal verification) and the appropriateness of the resources to support teaching and learning.

- Induction arrangements. Units offered. Options taken. Registration.
- Online learner survey – The CIOB website.
- Student guidance.
- Value placed on outcome of qualification.
- Satisfaction with delivery of syllabus content.
- Amount of course work/written work/assignments and so on.
- Facility of centre in general.
- Access to equipment and so on.
- Length of course.
- Mode of attendance part time day/evening/twilight/blended/e-learning.
- Course evaluation by staff and learners at year-end. May be available from existing course monitoring within establishment.

5.8. Course work, drawings and project work

- **Course work:**
The aim is to establish what has been learnt, rather than just what has been taught.
 - Does coursework meet all the syllabus learning outcomes?
 - Is information presented to learners, current up-to-date and legible?
 - Are hand-outs realistic and not of general 'type' suitable for all industries or academic courses?
 - Balance between written work and discussion of subject matter.
- **Drawings:**
A centre may choose to alter drawings and when doing so, approval must be sought from the external moderator. Copies of the drawings should be sent to the CIOB for approval. Centres may also use live sites if they can, or other drawings if preferred. A variety of drawings should be used to encompass the range of structures learners will encounter.
- **Project work:**
 - Integration of work set within the learning process of the syllabus.
 - Project work is set to be as realistic as possible. Designed to be job specific and related to the workplace.
 - The amount of time spent by learners on project work should be balanced with teaching element.
 - Adequate information given to learners to enable learners to undertake project successfully?

5.9. Centre set assignments and exams

The external moderator should inspect any centre set assignments, amendments to CIOB set assignments and exams before they are used. They should:

- Meet the required learning outcomes at the required level.
- Be unambiguous.
- Allow scope for learners to exceed learning outcomes to enable application of merit and distinction grades when appropriate.
- Not cause offence or disadvantage to any groups of learners.
- Be at a consistent level of demand to other assessments for this part of the qualification that have taken place in the past.

Standard assignment templates are issued to the centres, so the correct format is consistently used throughout centres.

5.10. Assessment:

- Does it meet current practices?
- Balance between coursework and project work.
- Method used in assessing work notified to learner before work starts.
- Grading: distinction, merit, referral, pass, and fail.
- Feedback.
- Inadequate internal verification is essentially a 'failure to comply' so could hold up certification.

5.11. Centre assessment standards scrutiny

A sample of previous assessments will be carried out, preferably remotely via the CIOB learning platform Moodle. The external moderator will review a representative sample of the cohort. Scrutiny samples will be increased up to 100% for new centres, new qualifications or where instances of concern have arisen relating to the delivery. A review of any internally set assignments or exams must be undertaken to ensure coverage of unit learning outcomes, appropriacy of assessment methods and internal quality assurance process.

Marking and grading descriptors can be found in the syllabus for each qualification. These are used by markers and internal verifiers to determine how learners' levels of attainment are differentiated. These are indicative characteristics, and an overall holistic approach is required when a learner's work is assessed. They will be a useful resource for external moderators when sampling.

The centre should provide an assessment and internal verification plan detailing the assessor and internal verifier for each unit, completion dates, assessment decisions, documentation relating to the decisions and feedback provided to both the assessor by the internal verifier and the learner by the assessor. It should also detail the verification of assignment briefs and any planned resubmissions. The external moderator will agree to a scrutiny sampling plan and will select learners from the list of current registered learners. The centre must provide evidence of the assessment process for each unit. The sample requested will be used to make a judgement on a centres assessment approach.

External moderators scrutinise assessments at an appropriate and representative range, to be confident of the standard of marking within a centre. The sample size will be dependent on the number of learners and units delivered but should be representative of the full scope of marks awarded and tutors involved. There is no maximum sample size. If the external moderator decides that the evidence provided is insufficient, further evidence will be requested and a larger sample carried out.

A centre may be required to change the marking of an assessment in line with the recommendations of the external moderator. The external moderator can increase the sample up to 100% as required. Where changes have been made within the sample e.g., marks or pass/fail decisions altered, then the external moderator should increase the sample up to 100% to ensure that other learners are not affected. When identifying other affected learners' reasonable steps must be taken to apply the moderator's decision consistently and fairly considering all learners within the cohort if necessary.

5.12. Interim scrutiny for certification outside the moderation cycle

Every cohort of learners must be scrutinised even for low risk level centres. Centres are required to ensure that course work submissions are evenly distributed throughout the year and to ensure that periodical reviews are completed for submitted assignments. Centres who claim outside the moderation cycle will require interim scrutiny to be carried out on samples of learners in between visits, to ensure consistent and reliable results throughout. The five points below should be followed:

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

Centres are required to provide the following for interim scrutiny:

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

External moderators' feedback on the sampled work shall be provided within the relevant part of the report form.

5.13. Centre internal verification

- Centres must complete a representative sample of internal verification.
- Internal verification operates within AO guidance.
- Internal verification ensures effective standardisation of assessment and outcomes.
- Roles are clearly defined.
- All members of the team clearly understand the roles. Weaknesses are addressed.
- Internal verifiers have the appropriate occupational expertise.
- Sampling is on-going and not end-loaded.
- All assessors are included in the process.
- Reports on assessment are maintained and reported to the relevant assessor.
- Strategies and plans are in place and operational.
- Support mechanisms are in place.
- Samples provided for moderation are complete and correct.
- Samples are provided in a timely manner.
- Final decisions on achievement are validated appropriately.
- Moderation outcomes are acted upon and monitored.

5.14. Malpractice and maladministration

- Procedures and reasonable steps are taken to keep under review arrangements in place.
- Steps are taken to investigate potential cases.
- Steps are taken to prevent incidents.
- Action is taken against those responsible.
- Action plans are in place for managing and rectifying incidents.
- Comprehensive reports are kept managing malpractice and maladministration.

- There is a notification procedure that sets out the prompt notification to CIOB of any incidents of malpractice or maladministration.

Where an external moderator identifies instances of malpractice or maladministration that have not been addressed or adequately dealt with by centre procedures, they should complete an External Moderator Malpractice and Maladministration Report. This can be found on Moodle.

5.15. Legislation

- Delivery of the qualifications is in accordance with equalities law.
- Health, Safety and Welfare regulations compliant.
- Data protection is adhered to.
- Evidence of compliance with all relevant law.

5.16. Centre policies and procedures

Centres are required to have policies and procedures to maintain quality assurance at centre level.

- Operation of a complaints and appeals process for learners.
- Delivery of qualifications in accordance with equalities law. How each centre deals with or intends to prevent and investigate cases of malpractice or maladministration. Review how the in-centre procedure for preventing and dealing with malpractice/maladministration is working and identify any improvements, where necessary. Assess the risk posed by each centre in relation to potential for malpractice and maladministration and take appropriate steps in response to that level of perceived risk.
- Centre withdrawal process/action plan to protect the interest of learners.
- Plagiarism and how it is dealt with.
- Identify and share good practice amongst centres to encourage and support high quality delivery and assessment practices.
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5.17. Equal opportunities and diversity

- Policies are in place and operational.
- Systems are in place to monitor and review.
- Equal opportunities are embedded in the course:
 - Management
 - Admissions
 - Delivery.
- Assessment policies and practices.
- There is monitoring through data collection and analysis.
- Staff are fully informed of centre policies.
- Regular staff training takes place.
- Learners are well informed.
- Learners are interviewed and confirm knowledge of equality and diversity.
- Equal opportunities are managed within the centre.
- Policies are kept up to date.

5.17. Complaints and appeals

- Centres operate a complaint handling procedure.
- Fully comprehensive documentation is available.
- Policies and procedures are regularly reviewed.
- Details of any occurrences relating to complaints or appeals are recorded appropriately.

5.18. Risk management

It is up to each institution to follow the process they consider most effective when undertaking risk management. However, course leaders should be aware that:

- The controls are effective and are being carried out regularly.
- They track and monitor the actions that are implemented and occasionally test them.

Best practice involves documenting key controls succinctly and separately from the actions for improvement. This separate documentation facilitates the review of controls for adequacy and efficiency and helps in monitoring and testing the controls.

- Health and safety is operational and incorporates risk assessment.
- Named person responsible for health, safety and risk assessment.
- Named person responsible for overall departmental responsibility for health, safety and risk assessment.
- The department maintains a risk register.
- Risk assessment takes place on a regular basis.
- Policy is reviewed regularly.
- Staff training is carried out.

5.19. Problems encountered

It is important that the outlined actions and timescales agreed are clear and realistic, since failure to complete actions may result in sanctions being applied. Discuss with the centre:

- Actions required by the centre.
- Timescales.

5.20. Recommendations

Make any suggestions you think helpful to the qualification delivery, marketing, or general promotion of the qualification(s) within the organisation. It is essential to point out any strengths or weaknesses with the provision to learn from the moderation experience and ensure the quality is maintained. Centres should fully familiarise themselves with all guidance and procedural documentation.

5.21. Centre risk rating

The external moderator should assign a level of risk to approved centres undertaking the delivery of qualifications for the CIOB awarding organisation should the need arise. This is required under the regulatory conditions and will provide the awarding organisation with an indicator for centre monitoring.

6. The External Moderators' Report

The external moderators report is in standard format to ensure the auditing process is carried out in a systematic, comprehensive, and consistent manner. Handwritten signatures or a confirmation email from the course leader must be provided as proof that an inspection has been carried out.

Guidance and notes for external moderators are circulated each year or discussed during training events. These notes provide external moderators with some direction in conducting the appraisal. They ensure that the visit has structure and confirm all areas of review are completed to the satisfaction of the awarding organisation.

6.1. The sections of the report

The report is divided into three sections.

- **Section 1:** Centre details, actions and recommendations
 - Contact details
 - Visit duration
 - Confirmation of a single named point of accountability
 - Quality nominee for the quality assurance and management for the assessment of units and qualifications
 - Qualifications currently delivered
 - External moderators and course leader confirmation signatures
 - Summary of actions identified
 - Actions required from visit
 - Good practice
 - Recommendations/actions for CIOB

- **Section 2:** Scrutiny of Centre Assessments of Learners Work. For each piece of scrutinised work, the following information will need to be recorded in the report.
 - Unit reference
 - Assignment title
 - Externally or internally set assignment
 - Internal verification is appropriate
 - Assignment assesses relevant outcomes
 - Number of learners submitting work for the unit
 - Learner's work sampled
 - Work internally verified
 - CIOB registration number
 - Grade
 - Tutor feedback adequate and relevant
 - Internal verification feedback is adequate and relevant

- **Section 3:** Quality Assurance, Centre Processes and Procedures
 - Learner registrations

 - Learner enrolment amendments
 - Assignments
 - Learner induction and support
 - Resources
 - Security
 - Course management and assessment
 - Internal verification
 - Centre policies and procedures
 - Malpractice and Maladministration
 - Complaints and appeals
 - Centre workforce
 - Legislation
 - Equal opportunities
 - Risk management
 - Risk rating and sanctions

6.2. Timescale for completing the report

The external moderator is required to complete all sections of the report with appropriate comprehensive findings in each section. Stage 1 – Actions and Recommendations must be completed during the visit. For Stage 2 and 3 it may not be practical for the external moderator to complete these sections during their visit, these can be completed afterwards.

6.3. Documenting areas for improvement

All areas for improvement must be stated within the actions section, and any requirements for compliancy detailed against each, (including timescales and by whom for completion). It is essential that the main actions are agreed during the visit and signatures are obtained, as this confirms that the centre acknowledges and agrees to implement the

agreed actions, and that the visit took place.

6.4. Submitting the report

- **Established competent external moderators.** Once complete, the external moderator's report is placed on the centre's CIOB Moodle page and emailed to the centre course leader and quality assurance nominee. In addition, it is submitted to the CIOB. Results of inspections are reported to the Awarding Organisation Compliance Panel (AOCP) meetings each year. Moderators can continue to release reports directly to centres providing they have successfully completed annual standardisation and/or annual performance monitoring.
- **External moderators in their first year.** During their first year of operation, all external moderator reports and any pending actions will be sent for review and approval by the chief external moderator before being placed on the centre's CIOB Moodle page and emailed to the centre course leader and quality assurance nominee.

7. Sanctions

The certification process is governed by strict areas of review, under an enforceable agreement signed by the centre before any delivery of CIOB qualifications can commence. Any centre falling below the required standards faces the imposition of sanctions or penalties. Sanctions and timescales imposed upon centres are determined by the external moderator and awarding organisation. External moderators should report any instance deemed to be of a serious nature to the CIOB Responsible Officer without delay for the responsible officer to report these findings to the regulator. The awarding organisation will take all the necessary steps to ensure that the interest of learners is protected.

Sanctions placed on a centre will be investigated and may initially be identified from:

- Moderation
- Stakeholders
- Government organisations
- Other awarding organisations

Where notification from a government organisation is received the awarding organisation will act on the information as appropriate.

7.1. Level 1: Moderation action plan

This level is reported via the external moderator action plan. For minor issues of administration or process management, certification will usually be provided but with strict enforcement timescales, as outlined by the external moderator within their report. On-going external moderator monitoring will take place until the actions are met, this may be carried out remotely by centre visits or both. If the actions are met within the desired timescale, then AO monitoring ends and the centre is notified as such.

- 1.1 Minor issues of course administration/process.
- 1.2 Minor issues regarding delivery of the qualification which do not conform to the requirements of the course.
- 1.3 Inappropriate teaching staff delivering the course.
- 1.4 Action points from previous report not actioned.

7.2. Level 2: Suspension of further registrations or certification

Where there are shortfalls in centre processes and failures to address basic requirements of the course, the external moderator may recommend suspension of registrations pending a further investigation by the CIOB. A second moderation visit should follow, arranged with the centre in advance. Suspension should only be imposed after CIOB support has been implemented to resolve issues, and further investigation has deemed there are still serious failings at the centre. Learners should not be penalised by centre process failures if their work meets the necessary requirements for the qualification.

- 2.1 Internal verification none planned or implemented.
- 2.2 Assessments are not valid and reliable.
- 2.3 The course is not delivered in line with the requirements of the current syllabus.
- 2.4 Compulsory assignments have not been completed.

7.3. Level 3: Centre approval withdrawal

Where it is considered, there are significant faults in the management and quality assurance of the qualifications, which results in the on-going failure to meet the core criteria and requirements for the qualifications, the external moderator will be required to invoke the sanction of centre approval withdrawal to offer the qualification(s). If the area of non-compliance indicates that fraudulence is implicated, then the procedures for dealing with malpractice should be implemented. The awarding organisation is expected to advise the regulators of any approval withdrawal should this arise and where possible give reasonable notice of the intention to withdraw.

- 3.1 A breakdown in the management and delivery or quality systems of the course, which puts the course members at a disadvantage and the CIOB qualification at risk.
- 3.2 Consistent failure to assist the awarding body and/or Ofqual as required.
- 3.3 When the awarding organisation receives information that could result in the application of centre sanctions, an investigation will take place by the external moderator and appropriate action taken.

The awarding organisation will take all reasonable steps to protect the interests of learners in relation to any qualification's withdrawal.

The centre may wish to appeal against the awarding organisations decision to apply sanctions. The CIOB Awarding Organisation Appeals Policy should be referred to.

8. Centre Reapproval

Where a centre wishes to seek reapproval, the external moderator will carry out an advisory visit to assess the suitability of the centre for reapproval. If 3 years or more have passed since approval lapsed, then the centre will need to submit a new centre approval application and should be referred to the Centre Approval Guidance. Reapproval might be sought in the following circumstances, providing that approval has lapsed within the previous 3 years:

- When issues have been rectified after a centre's approval was withdrawn.
- When a centre which has not registered learners for a continuous period wishes to register new learners.

During the visit the external moderator should review the following:

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

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

9. Adverse Effects

9.1. Definition of Adverse Effect

An adverse effect is an act, omission, event, incident, or circumstance that:

- Gives rise to prejudice to learners or potential learners, or
- Adversely affects:
 - the ability of the awarding organisation to undertake the development, delivery, or award of qualifications in a way that complies with its conditions of recognition,
 - the standards of qualifications which the awarding organisation makes available or proposes to make available,
 - public confidence in qualifications.

9.2. Examples of adverse effects

Some specific examples of events which could have an Adverse Effect are listed below.

- There is a substantial error in assessment materials.
- There has been a loss or theft of, or a breach of confidentiality in, any assessment materials.
- The awarding organisation cannot supply assessment materials for a scheduled assessment date.
- There has been a failure in the delivery of an assessment which threatens Assessors' ability to differentiate accurately and consistently between the levels of attainment demonstrated by Learners.
- The awarding organisation will be unable to meet a published date for the issue of results or the award of a qualification.
- The awarding organisation has issued incorrect results or certificates.
- The awarding organisation believes that there has been an incident of malpractice or maladministration, which could either invalidate the award of a qualification which it makes available or could affect another awarding organisation.
- The awarding organisation has (for any reason, whether inside or outside its control) incurred an increase in costs which it anticipates will result in an increase in its fees of significantly more than the rate of inflation.
- The awarding organisation is named as a party in any criminal or civil proceedings or is subjected to a regulatory investigation or sanction by any professional, regulatory, or government body.
- A Senior Officer of the awarding organisation is a party to criminal proceedings (other than minor driving offences), is subject to any action for disqualification as a company director, or is subject to disciplinary proceedings by any professional, regulatory, or government body.

9.3. External moderator and adverse effects

The external moderator should notify the CIOB Awarding Organisation if they believe that an event has occurred, or is likely to occur, within a centre which could have an adverse effect. Such instances should be notified to the CIOB Responsible Officer so that they can inform the regulator. This is because there is a requirement for the CIOB Awarding Organisation to notify the regulator of any incidence that occurs which might have an adverse effect.

Notification must be made without delay and must include any steps that have been taken or will be taken to prevent the event having an adverse effect or to correct or mitigate that adverse effect if it occurs. Notification must be made as soon as possible with all the information available at that time with further information being provided once it becomes available.

10. Appeals and Grievance

An appeal may be requested by a learner or a named representative from an approved centre to the awarding organisation to undertake an investigation. This might be about decisions taken by an external moderator as part of the quality control process. Further information can be found in the CIOB Centre Delivery Guidance.

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

11. External Moderator Recruitment and Training

We allocate the external moderators' centres relating to their region. This enables them to ensure there is standardisation and consistency in delivery across centres.

11.1. Recruitment criteria

To achieve and apply a consistency of approach to the process, CIOB External Moderators are subject to the following criteria:

- Appropriately qualified within their qualifications discipline.
- Maintenance of an appropriate level of continuing professional development (CPD), which is commensurate with the external moderators' role and maintain records.
- Have a comprehensive understanding of assessment and moderation methods and criteria.
- Have suitable industrial experience relating to course provision, to enable understanding of the subject of CIOB qualification(s) they are assuring, including the purpose, and intended use of the qualification.
- Be occupationally competent to review the ability of the centre's assessment team, the validity of the assessments and the assessment decisions made.
- Teaching qualifications and/or experience as appropriate.
- Have relevant knowledge of the regulatory conditions.

11.2. Recruitment methods

Expressions of interest are obtained from suitably qualified persons through advertisements placed within CIOB publications and/or on the CIOB website and via requests through CIOB regional or branch networks. Applications are considered based on CV's submitted to the CIOB. The CIOB AOMC approves applications. The tenure of the CIOB External Moderators will be subject to a three-year review process.

11.3. Training

Training is a key part of ensuring standards are applied consistently and with due regard to CIOB Policy and regulatory requirements. A training day is arranged annually to ensure external moderators participate in standardisation activities.

During their first year of operation, all external moderator reports and any pending actions will be checked before being released to centres. After their first year, their reports can be submitted to centres on completion without any further awarding organisation review, or approval provided they have successfully completed annual standardisation and/or annual performance monitoring.

11.4. Industry updates

In addition, the CIOB Awarding Organisation ensures external moderators are kept up to date with best practice and industry updates through attending standardisation events, direct contact via the chief external moderator, online forums and by the awarding organisation administrative team. External moderators are encouraged to attend industry-relevant events and meetings, and to take part in relevant industry specific committees, either within the CIOB or externally. External moderators are encouraged to contact the awarding organisation if there is a particular training event they are interested in attending.

11.5. Continuing professional development (CPD)

CPD is a key part of professional life for any CIOB member and underpins the value of professional qualification. An institute that cannot demonstrate a firm commitment to CPD undersells its members. CPD is the process of regularly assessing current and future skill and knowledge requirements relevant to your responsibilities, then planning and implementing an on-going programme of training and development to address these needs.

The process allows you to do the following:

- Progress your career.
- Maintain your professional status.
- Reflect on personal achievements and invest in future development.
- Learn from others and exchange knowledge and ideas.
- Benchmark your performance.
- Demonstrate to colleagues and clients that you are a self-starter and motivated to learn.
- Develop the skills you need to do your job more effectively.
- Learn in a flexible style, identifying and making the most of available development opportunities.

CPD Activities might include the following:

- Open/distance learning.
- Private study.
- Conferences, lectures, and seminars.
- Training courses.
- Writing articles for publications.
- Teaching.
- Practice.
- Preparing papers.
- Examining, tutoring, or mentoring.

11.6. Recording CPD

Records of their annual CPD plan, their evaluation of their CPD activities and the activities they have undertaken should be kept as external moderators may be required to submit this to the AO when requested. The CIOB operates a CPD monitoring programme which involves checking the CPD records for random selection. Compliance does not require a set number of hours. The amount of CPD done will depend on circumstances and should be appropriate for the level of responsibility and on-going development required.

11.7. Construction Professionals CPD Zone

To meet the growing learning needs of busy, knowledgeable construction professionals CIOB launched the CPD portal which you can find at www.construction-manager.co.uk/cpd. The online system hosts a wide variety of CPD content on many subjects and in many formats including video, PowerPoint presentations, textual and magazine articles.

12. The Chief External Moderator

12.1. Duties and responsibilities

The role of the chief external moderator is established to provide representation on behalf of external moderators through the Awarding Organisation Compliance Panel (AOCP). The chief external moderator ensures standards set by CIOB for undertaking moderation are maintained and upheld. The chief external moderator has responsibility for standardisation through yearly monitoring, analysing, and producing a risk management strategy for approved centres and in the production of reports.

The chief external moderator takes an active role in the training, standardisation and development of external moderators and the review of documentation. The chief external moderator will analyse all moderation over time in carrying out performance reviews whilst moderation is taking place. Monitoring of each individual external moderator is to be reported to the AOMC meetings regarding reviewing evidence for delivery, assessment and the award of units. The evidence reviewed will include the following:

- Centre/provider comments.
- Learner comments.
- External moderator action plans for approved centres.
- Failure of compliance.
- External moderator performance on overall completion of the visit and their reporting.
- CEM moderation visits, monitoring and reporting.

The chief external moderator may be requested to become involved with a centre at the request of the awarding organisation. Should a centre have high level sanctions imposed both the external moderator and chief external moderator will work together with the centre to address the issues.

12.2. Recruitment criteria

The appointment criterion for the chief external moderator is identical to an external moderator. However, he/she is, in addition, required to have served at least one year as a senior/external moderator for construction qualifications.

12.3. Recruitment methods

Expressions of interest are obtained from suitably qualified learners through the AOPC, advertisements placed within CIOB publications and/or on the CIOB website and through a request for branch representation. Applications are considered based on CV's submitted to the CIOB. The CIOB Awarding Organisation Compliance Panel grants approval of the candidates.

13. External Moderator Conduct

13.1. CIOB Royal Charter

The CIOB was granted a Royal Charter in 1980. Its objectives, as defined in its Royal Charter, are:

- The promotion for the public benefit of science and practice of building and construction.
- The advancement of public education in the said science and practice

including all necessary research and the publication of the results of all such research.

These objectives form the foundations of the Institute's work, its role, and set the standards to which its officers, members and staff are committed. They are ultimately responsible to the Privy Council for ensuring that all business for, on behalf of, or in the good name of the Institute is conducted to that standard and in accordance with the directions of the Royal Charter. All officers, members and staff of the Institute are therefore expected to operate to a strict code of conduct, and the Institute has clear disciplinary procedures. See more at: <http://www.ciob.org/about/governance/royal-charter#sthash.pjhPeM8R.dpuf>.

13.2. Malpractice

The moderation process is subject to close validation through the CIOB. The CIOB adopts an open policy which ensures that issues of malpractice can be raised and investigated. The CIOB external moderators are subject to the malpractice policy under the following criteria:

- Failure to make a declaration of interest in an approved centre.
- Disclosure of confidential information about a learner or approved centre.
- Failure to carry out the moderation task.
- Falsification of fees and claims.
- Failure to follow the requirement of the CIOB awarding body in relation to moderation.
- Failure to adhere to the CIOB Code of Practice for external moderators.
- Failure to adhere to CIOB policy on Reasonable Adjustments and Special Considerations.

A CIOB external moderator found to be in breach of malpractice regulations risks suspension/removal of their duties by the CIOB Awarding Organisation and an investigation by the CIOB Professional Conduct Committee of the CIOB. Approved centres are also subject to the CIOB malpractice policy as part of the moderation process (see detailed information in Centre Delivery Guidance).

14. Contact Details

For all information relating to the CIOB Awarding Organisation, please contact:

Quality Coordinator
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