



CENTRE POLICY GUIDANCE



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1. POLICIES REQUIREMENTS

We require centres to hold a number of policies which are outlined in this document. To avoid any delays in your centre application, please review your policies against the following policy criteria ensuring your policies meets our requirements.

Please note that policies must be specific to the learning and assessment environment and if training/assessing third parties then the term employee should not be used. If a company policy comes under a group policy, then an extension procedure can be added specifically to the training environment for the policy subject in question.

Policy documents must have the company logo on them and be version control and review date as per company policy.

2. APPEALS POLICY

- Specify what kind of things learners can appeal against – this should include appeals against assessment and verification.
- State how learners must appeal to and how, e.g., in writing.
- State who appeals should be directed to (name or job role)
- Set timescales, for example making an initial response within five working days.
- Outline the process for dealing with appeals including any committees that may be involved.
- State the learners have the right to appeal to Smart Awards when internal processes have been exhausted.
- State where an appeal is upheld that the centre will investigate whether this has any impact on other learners and whether any action needs to be taken to address this.
- Reference the appellants' right to contact the awarding organisation and the regulatory bodies (SQA Accreditation in Scotland, Ofqual in England and Northern Ireland, Qualification Wales in Wales) and provide contact details for these bodies.

For Smart Awards:

info@smartawards.co.uk

For Ofqual:

<https://www.gov.uk/government/organisations/ofqual/about/complaints-procedure>

For SQA accreditation:

https://accreditation.sqa.org.uk/accreditation/About_Us/Complaint

For Qualification Wales:

comms@qualificationswales.org

Note that where appeals have been referred that SQA Accreditation is unable to overturn assessment decisions or academic judgements.

3. COMPLAINTS POLICY

- Outline the process for making a complaint i.e., how complaints may be made, for example, must they be made in writing?
- State who complaints should be directed to (name or job role)

- Indicate timescales, for example, making an initial response to the complainant within five working days, reaching a decision within 20 working days etc. Any KPIs relating to dealing with complaints should be included.
- Outline the process for dealing with complaints including any committees that may be involved.
- State where a complaint is upheld that the centre will investigate whether this has any impact on other learners and whether any action needs to be taken to address this.
- Outline the process for appealing against the outcome of a complaint.
- Reference the complainant's right to complain, in turn, and once the previous stage has been exhausted, to the centre, to Smart Awards as the awarding body, to the regulatory bodies (SQA Accreditation in Scotland, Ofqual in England and Northern Ireland, Qualification Wales in Wales). Users of public bodies in Scotland may then complain to the Scottish Public Service Ombudsman (SPSO) as the final arbiter. Contact details for these bodies should be provided.
- Make clear that for some complaints, there will be no requirement to escalate the complaint to Smart Awards
- Reference the appellants' right to contact the awarding organisation and the regulatory bodies (SQA Accreditation in Scotland, Ofqual in England and Northern Ireland, Qualification Wales in Wales) and provide contact details for these bodies.

For Smart Awards:

info@smartawards.co.uk

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<https://www.gov.uk/government/organisations/ofqual/about/complaints-procedure>

For SQA accreditation:

https://accreditation.sqa.org.uk/accreditation/About_Us/Complaint

For Qualification Wales:

comms@qualificationswales.org

4. CONFLICT OF INTEREST POLICY

- Includes the types of conflict of interest.
- Includes actions taken by centres to mitigate any conflicts of interest.
- How conflicts of interest are managed
- How conflicts of interest are recorded
- How to report conflicts of interest – to Smart Awards
- How to report conflicts of interest – to Smart Awards

5. EQUALITY AND DIVERSITY POLICY

- Defines discrimination.
- Identify where and how direct or indirect discrimination may occur.
- State how the centre seeks to tackle potential discrimination - this should include recruitment, induction, on-programme (including placement where applicable) and assessment and verification (where applicable)

- State the steps the centre takes to ensure equal access where possible – this may be physical access and will include ensuring that any materials use language and images that are representative of society.
- Outline the centres process for assessing whether a learner requires any 'reasonable adjustments to be made so as not to disadvantage them.
- State that the centre will notify the Smart Awards of any reasonable adjustments that may need to be made.
- Reference relevant legislation such as the Equality Act 2010 (this details the nine 'protected characteristics)

6. HEALTH AND SAFETY POLICY

- State how the centre deals with accidents including internal logging and monitoring.
- Include reporting under RIDDOR.
- Outline how the centre ensures that venues and equipment used for the purposes of training and/ or assessment are safe.
- Describe the process for assessing risks and mitigating identified risks.
- Indicate any first aiders and state how others are made aware of them *(if not by name by number)*

7. GDPR/DATA PROTECTION POLICY

- Make reference to the Data Protection Act 2018 to include the General Data Protection Regulations and that this relates to the collection and retention of personal information.
- State that the centre has notified the Information Commissioner's Office (ICO). Note that Scotland has its own Information Commissioner.
- Include their ICO registration number.
- State specifically what data is collected and for what purpose.
- Indicate that data is collected and used with the consent of the individual who is also made aware that they may withdraw their consent at any time.
- Say how long the centre holds the data for – this should be for the minimum amount of time and the data stored needs to be kept up to date so the process for this should be referenced. For all Smart Awards SA modules and S/NVQs, centres must retain records for three years. For funded qualification seek a reference from the funding provider.
- Say how the data is securely stored, e.g., password-protected IT systems, lockable cupboards etc.
- Outline data portability and how requests for data are dealt with, including whom to contact on this matter.
- Include reference to further information on data protection visit the Information Commissioner's website <http://www.ico.gov.uk>
- Outline how to raise a GDPR issue to Smart Awards

8. MALPRACTICE AND MALADMINISTRATION POLICY

- Describe what kind of things may be considered malpractice and make clear that these could involve learners and/or instructors/assessors.
- Describe what kind of things may be considered maladministration (examples are helpful)
- Outline the process for 'whistle blowing' (or reference a separate policy where this exists)
- Describe how the centre would deal with suspected malpractice or maladministration including any personnel or committees involved.

- State whom to contact (name or job role)
- Indicate timescales / KPIs.
- Include notification of potential or actual cases to Smart Awards as soon as possible, and cooperation with investigations undertaken
- State where malpractice or maladministration is found to have taken place that the centre will investigate whether this has any impact on other learners.
- Include that the centre will liaise with the Regulatory Bodies regarding any investigation as necessary.
- Outline how to report a malpractice and maladministration issue to Smart Awards

9. PREVENT POLICY

- Include its approach to the management of any speakers/events to balance free speech with the protection of the welfare of staff and students, ensuring that they do not provide any platform for the encouragement of terrorism and/or inviting support for a proscribed terrorist organisation.
- Outline its risk assessment and appropriate mitigating actions with regard to where and how learners and/or staff may be drawn into terrorism.
- Indicate partnership working and the sharing of information.
- Indicate its approach to ensuring that staff, governors etc are adequately trained in this duty.
- Reference signs that may suggest radicalisation in learners.
- Ensure that IT policies indicate clearly what is/is not permissible.
- Make any sub-contractors used aware of this duty!
- Describe centre responses to suspected radicalisation.

10. QUALITY POLICY

- Outlines the quality assurance process in relation to the delivery of qualifications.
- Includes standardisation events and how these are scheduled and managed.
- Outlines the IQA process.
- Outlines the sampling plan/strategy.

11. REASONABLE ADJUSTMENTS POLICY

- Outline the definition of a reasonable adjustment.
- Includes a process for requesting reasonable adjustments including approval from Smart Awards
- Outlines the evidence to support a reasonable adjustment.
- Outlines the definition of a special consideration.
- Includes eligible criteria.
- Includes a process for requesting special consideration including approval from Smart Awards

12. SAFEGUARDING POLICY

- Define child/ young person and vulnerable adult.
- Identify when and under what circumstances children, young people aged 18 or under and vulnerable adults may be at risk.
- Detail steps are taken to ensure their safety, including any risk assessments, the use of the Disclosure and Barring Service (where necessary) or Disclosure Records (Scotland)

- Confirm that any activities are appropriate to the age, maturity, and ability of those participating.
- Indicate any guidance given to centre staff regarding meetings with children, supervision arrangements, and parental consent for any child's participation.
- Describe how concerns are dealt with these, including the involvement of the DBS, other agencies and/or the police.

13. WHISTLEBLOWING

- Outlines whom the policy applies to
- Outlines policy aims.
- Includes who and how to raise a concern.
- Includes how the whistleblower is protected in the policy.
- Must state who will receive the report, follow up, and outline who may have access to the information.
- Outlines how feedback and what type will be provided.
- Includes examples of what Complaints count as whistleblowing.
- Includes examples of what Complaints do not count as whistleblowing.

14. ASSESSOR REQUIREMENTS

- You are required to submit the following information for all your assessors.
- Current relevant CPD (continuing professional development)
- Assessor certificate for qualified assessor(s) (*CAVA/TAQA L3 in assessment or equivalent i.e., A1, D32.D33 with updates if necessary*)
- Assessors who are working towards an assessor qualification - Proof of assessor qualification enrolment, a screenshot will be ok.
- Technical certifications of what each assessor is wanting to assess.
- Current relevant CV

15. IQA REQUIREMENTS

- Current relevant CPD (continuing professional development)
- IQA certificate for qualified IQA staff member (*L4 in internal quality assurance or equivalent i.e., V1, D34 with updates if necessary*)
- IQAs who are working towards an IQA qualification must have all assessment evidence countersigned by a qualified IQA - Proof of IQA qualification enrolment or screenshot will be acceptable. You must have a qualified IQA in place to countersign.
- Technical certificates to support the subject.
- Current relevant CV

16. IQA PROCEDURE

- IQA strategy (with risk rating assessors and sample rates)
- Sampling plan for formative/live audits (proposed month each assessor will be monitored)
- IQA blank template report

IQA strategy must include:

- IQA rational statement (why IQA takes place)
- How quality assurance will take place.
- The sampling regime

- Qualification and assessor risk factors and management

17. PHOTO / VIDEO EVIDENCE

- Welfare area(s)
- Classroom(s)
- Secure area for Smart Awards documents/assessment materials (lockable room or lockable cupboard etc)
- Site/area in general
- Practical assessment areas (see specific approval docs for guidance)